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THESIS

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A STUDY OF APPROVAL PLANS AND THE GOVERNMENT'S ABILITY TO CONTRACT FOR THEM UNDER THE FEDERAL ACQUISITION REGULATION (FAR)

by

David B. Grove

December 1989

Thesis Advisor: Paul M. Carrick

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The primary objective of this thesis is to assess the use of approval plans in the procurement of monographs for Department of Defense libraries. The intent of the study was to identify the present procurement methods and to investigate the applicability of approval plans under the Federal Acquisition Regulation (FAR). The research was conducted by a review of current literature and interviews with acquisition and collection development librarians. Conclusions and recommendations with regard to approval plans are provided along with procedural methods for implementing approval plans under current Department of Defense regulations.

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A Study of Approval Plans and the Government's Ability to Contract for Them Under the Federal Acquisition Regulation (FAR)

by

David B. Grove
Lieutenant Commander, United States Navy
B.S., University of Minnesota, 1977

Submitted in partial fulfillment of the requirements for the degree of

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from the

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ABSTRACT

The primary objective of this thesis is to assess the use of approval plans in the procurement of monographs for Department of Defense Libraries. The intent of the study was to identify the present procurement methods and to investigate the applicability of approval plans under the Federal Acquisition Regulation (FAR). The research was conducted by a review of current literature and interviews with acquisition and collection development librarians. Conclusions and recommendations with regard to approval plans are provided along with procedural methods for implementing approval plans under current Department of Defense regulations.

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I. INTRODUCTION

A. GENERAL

Both the Packard Commission and Secretary of Defense Cheney in his Report to the President on defense management, cite specific reforms to improve defense procurement. One such reform:

> ...and adoption of competitive practices predicated more broadly on a mix of cost, past performance and other considerations that determine overall "Best Value" to the government. [Refs. 1:p. 62; 2:p. 20]

The defense libraries utilize the same procurement practices for monograph procurement as they do for any other small purchase items. They buy a monograph just like they buy a notebook. They identify the requirement, search for a source or sources of supply and award the contract on a cost basis to the lowest bidder. No consideration is given to the "best value" during the process.

The nature of the library market is that all monographic publications are sole source, i.e., the authors usually have only one publisher and this author is the only publication that will meet the library's need. The libraries, however, deal with wholesale vendors that combine multiple orders and receive a quantity discount from the publishers. These vendors then pass on part of the discount to the libraries collecting the remainder as a fee for their services. Both

the discount received and the services rendered are difficult to forecast in advance and therefore fixed prices on individual orders are difficult to obtain.

Most government libraries have in the past used blanket purchase agreements to obtain individual publications. Blanket purchase agreements were used with only a few specific vendors. Rules regarding their use were often disregarded in order to retain good relations with these vendors. The liberal interpretation of the contracting regulations enabled the government libraries to keep up with their civilian counterparts.

In recent years with a renewed emphasis on competition and several highly publicized examples of contracting abuses, i.e., $500 hammers, federal procurement auditors have tightened down on the library's ability to use blanket purchase agreements. Most government libraries have had to change to the costlier purchase order method or use the Library of Congress's Federal Library and Information Network (FEDLINK) contracts, both of which require an increase in the procurement lead time.

One way for the defense libraries to identify competitive practices that improve the value of each procurement is to look at the civilian monograph marketplace. Civilian libraries have developed approval plans as a means of covering the publishing output. The defense libraries need to understand what the marketplace is and how it has evolved into

its present structure. The defense libraries then need to study how the civilian academic and research libraries have developed and the competitive practices they use to meet the demands of the marketplace.

Once these competitive practices are discovered, contracting methods as authorized in the Federal Acquisition Regulation (FAR) should be set up to take full advantage of these practices.

B. OBJECTIVES

The research effort will be a study on how library monographic acquisitions are done in both the private and public arenas. The key focus will be on the feasibility of approval plans as a method of government library acquisition.

C. RESEARCH QUESTIONS

The primary research question is: Can the procurement of library monographic materials be improved through the use of contracts that allow approval plans?

In support of the primary question, the following secondary questions were established:

- What are the methods civilian libraries use to procure their monographic publications?
- What are the methods Department of Defense libraries use to procure their monographic publications?
- How does the library monographic marketplace influence these methods?

- What are the procurement methods allowable under the Federal Acquisition Regulation for procurement of monographic publications?

- Would an indefinite delivery type contract with option years, such as the one being utilized by the Air University Library, enable the use of approval plans for other government libraries?

- How does the Federal Library and Information Network (FEDLINK) work and can it be modified to include approval plans?

D. DEFINITION OF TERMS

- Approval plan is a sophisticated arrangement between an academic or research library and a vendor, whereby: (1) the vendor selects for approval treatment all new titles in a well-defined area, and profiles those selected as to subject and formal characteristics; (2) the library draws up a "profile" of subject, nonsubject or formal, publisher, and series decisions reflecting its collection development policy; and (3) the vendor matches each new title against the library's profile and sends automatically on approval all positive matches. [Ref. 3:p. 14]

- Approval plan is a means of collecting a well-defined selection of current imprints and is used by libraries conceiving their collection development responsibilities, not in title-by-title terms, but in terms of covering publishing output. [Ref. 3:p. 14]

E. SCOPE OF THESIS

This thesis is limited to the study of approval plans and the ability of government agencies to set up contracts for approval plans under the Federal Acquisition Regulation (FAR). It will also determine whether approval plans should be set up individually or whether a modification should be made to the FEDLINK contract.

F. RESEARCH METHODOLOGY

Research data were collected from two primary sources.

1. Literature Search

A search of literature was conducted in the Naval Postgraduate School Library, a custom bibliography was obtained from the Defense Logistics Studies Information Exchange (DLSIE), and several bibliographies published in various library journals. Library Literature, an index to library and information science, was used to familiarize the researcher with the subject area. Key words/descriptors used included armed forces library; approval plans; acquisition; college and university libraries; jobbers, suppliers and wholesalers; and surveys. The literary sources examined included published and unpublished papers, periodicals, general reference texts and government publications and reports. A complete list of literary sources is contained in the List of References.

2. Interviews

Due to the large number and different types of government libraries, research data were also collected via personal and telephone interviews. Interviewees were selected to include large academic libraries as well as small base libraries, such that a wide range of perspectives was obtained. Questions asked for the most part were open ended. However, a few specific questions were asked to ascertain the library's method of monographic procurement. This approach

allowed the researcher to focus the questions on specific strengths and weaknesses of the monographic procurement system.

The researcher would like to acknowledge the tremendous cooperation and support given by those personnel interviewed. A complete list of personnel interviewed is contained in Appendix A.

G. ORGANIZATION OF STUDY

This study consists of seven chapters. Chapter I contains the introduction and research questions in addition to providing comment on both the scope and research methodology of the study. Chapter II provides some background information of the monographic marketplace. Chapter III describes approval plans giving both the advantages and disadvantages of their use.

Chapter IV contains the primary research results. Chapter V is a review, discussion and analysis of the military libraries and the procurement methods in use by the libraries. Chapter VI outlines the mission and services provided by FEDLINK.

Chapter VII provides conclusions derived from the research and recommendations on the use of approval plans in the Department of Defense. Appendices and a List of References are provided for information and to facilitate further research in this area.

II. THE MONOGRAPHIC MARKETPLACE

A. HISTORY

The marketplace consists of three groups of individuals: the publishers, the librarians and the wholesalers. This triad developed because of a basic need for publishers to contact customers. The publishers number over 50,000, maintain inventories of over one million titles and produce over 50,000 new products each year. They have difficulty reaching the numerous customers, who in turn may buy only one or two copies. The publishers are willing to offer quantity discounts, or commissions, to agencies for attracting new customers. New customers are those libraries unable to cover all sources of publications because of funding or personnel limitations. [Ref. 4:p. 198]

The libraries are attracted by the fact that they now only have to deal with a few reliable vendors who can meet their needs. The services provided by the vendors reduce their work load in ordering, invoicing, expediting orders and following up claims. The vendors are able to pass on some of the quantity discounts to the libraries. [Ref. 4:p. 199]

In the 1950's and 1960's, libraries in the United States had an abundance of funds and the number of titles in print were limited. Libraries were able to purchase everything their collections required. In fact, many collections grew

rapidly in those years. Publishers produced more books than were required to fill initial orders, relying on the wholesalers and discounts to remove the excess inventories. [Ref. 5:p. 150]

In the early 1960's and 1970's changes in the marketplace impacted on this system. Scholarly publishing was exploding and the cost of doing business for both the publishers and the vendors was increasing. The increase in the number of titles changed the mix of titles offered and the average profit on those titles. Now more expensive journals targeted towards smaller specific audiences decreased the margins of the overall market. The publishers lowered their commissions and discounts to the vendors, who in turn reevaluated their service charge formula to the libraries. The libraries, in turn, not only lost some of their discounts, but on some of the more high priced journals with limited distributions actually had to pay more for the journal supplied by a vendor than if they had bought directly from the publisher. [Ref. 6:pp. 204-205]

Federal tax law has also had a significant effect on book distribution. The advent of Thor Power Tool Co. tax ruling in 1979 made it uneconomical for the publishers to overproduce and hold large stocks of unsold books. The Supreme Court ruled in Thor Power Tool Co. v. Commissioner 439 U.S. 522 (1979) that companies could not write down excess inventory past the market value. Over time, Thor Power Tool Co. would

write down their excess inventory to scrap value as a tax write off. The power tool company did this in accordance with industry practices. However, Thor kept some of the inventory and sold it at full price, in violation of section 446 of the Internal Revenue Code of 1954. [Ref. 7:p. 204]

In 1980 the Internal Revenue Service told the publishers that the write-down of their inventory was like that of the Thor Power Tool Co. and as such was not allowable. The publishers would have to value their inventory at the 1979 level. To avoid this, the publishers began to discount the remaining inventories and in some cases destroy books to avoid paying taxes. As a result, publishers began to limit production runs and discount the remaining books to keep inventories down. Poor communication with the market resulted in many publications going out-of-print before the library could place an order. [Ref. 7:pp. 204-205]

In the 1980's, short production runs became very popular with publishers. With the increasing costs of warehousing and with new printing techniques that increased printing efficiency, publishers surveyed the market place and printed only a few more copies that they expected to sell. Some reports have blamed the Thor decision for a trend toward short production runs, an increased destruction of unsold books and a push of unsold books into "remainders" that are sold at huge discounts. Of course, once "remaindered" books are sold, no other copies are available. [Ref. 5:p. 151]

The libraries, to adjust for short runs and out-of-prints, changed their procurement methods. The use of automatic acquisition plans or approval plans decrease the amount of time required to make a selection. In a survey of 100 college and university libraries five years after the Thor decision, the number of libraries participating in such plans increased 53%. [Ref. 7:p. 213]

On top of this, inflation of the late 1970's and early 1980's reduced the buying power of the operating and collection budgets of most libraries. Book prices and overall book production increased while library collection budgets were being reduced to meet other university needs. Libraries that could not order all the publications in print were finding that they would have to decide what publications to buy and what publications they could forego. [Ref. 8:pp. 347-355]

The triad of publisher, vendor, and librarian had to develop new and better methods of marketing their products. The libraries needed to reduce costs and focus their collections to get the greatest value for their dollar.

B. THE PUBLICATION CYCLE

The publication cycle now begins months before the actual printing of the book. The publisher announces the title and provides information about the book to the marketplace. This is usually done through wholesalers or other data base

creators using publisher catalogues, pre-publication flyers, and advertising in library and trade journals. The publishers also communicate with faculty and speed up reviews of the publication. (Reviews are used by acquisition and collection development librarians to base their buys on.) Orders are then placed by both the consumers and the library markets. If everything goes right, the publisher begins printing on time. However, printing can be delayed by the publisher failing to gain enough advanced sales or interest in the publication. Reasons for this lack of interest are: failure to promote the title, misplaced advertising or market targeting, title changes and false starts or not marketing at all. [Ref. 4:pp. 198-199]

Other uncontrollable events can also happen, such as the death of the author or changes in the published material, so as to make it out-of-date. Even the time of year a book is released could impact on sales. If the book is released when library budget is depleted, the library will be unable to order until more funds have been appropriated. [Ref. 4:p. 198]

The stock of newly published books must be sold within a short period of time. The Thor decision has made a great impact on publisher's stocks. If the books do not sell within 18 months, they are "remaindered" with huge discounts and then go out-of-print, some within as little as three years. [Ref. 7:p. 208]

C. THE LIBRARIAN

Most libraries have an acquisition librarian whose job it is to handle the procurement of publications and a collection development librarian to coordinate selection to meet the needs of the library's users. In smaller libraries these positions may actually be collateral duties. In larger libraries the acquisition librarian may be part of a large acquisition department made up of ten or more individuals.

The procurement cycle in a library starts with defining the mission or needs of the library. In academic and research libraries, the mission is closely tied with the courses offered and the research done. The librarian usually can reference the course catalog, the library councils (made up of professors and students) and the historical pattern of collection to formulate his acquisition plan. The process is not as simple as it sounds. Collection development librarians are often required to have degrees in specific subject areas as background for selection.

The acquisition plans in the past, when funds were plentiful and books in the scholarly field limited, were usually broad and undefined. Most academic and research libraries could buy everything the market could produce. Most students and faculty needed only to ask for publications. The acquisition librarian usually took whatever steps were required to obtain the publications.

The acquisition librarian usually has three methods of obtaining publications. These methods are individual buys, standing orders and approval plans. Individual buys are used when the acquisition librarian knows specifically what title he or she needs. The individual buy can go either directly to the publisher or to a wholesaler depending on the preferences of the librarian. The publisher list prices are contained in Books in Print which is published yearly and now available on compact disk read via a microcomputer. The compact disk is updated monthly. However, monographs can usually be obtained at less than list price and there is no computer-based data system that identifies the lowest price or price changes.

Standing orders are for books not yet published but scheduled for publication. The best example of this is a serial publication. The library intends to purchase the entire series as it is published and places a standing order with the publisher or vendor.

The last method is a blanket purchase agreement, now refined into an approval plan. An approval plan is a formal agreement that the library will take all publications in a certain field, with specific set limitations. The approval plan is more refined than the blanket purchase plan in that it sets limitations as to subjects, presses, prices, formats, and that the books are "On Approval" and may be returned. The vendor usually receives a percent of the sale in return for his services. Approval plans can be set up with more than one

vendor. The library must however be careful to segment the collection so that duplicate publications are not sent from different approval plans. The approval plan does not require the library to purchase all his monographs through a specific vendor, however, specific titles are usually given to the approval plan vendor first before asking another vendor.

With these methods in hand, the acquisition librarian sets out to gather all the publications the academic and research library requires to fulfill its mission. The acquisition librarian's goal is to have the book on the shelf of the library before it is requested by the faculty or students.

The process seems simple enough. However, the acquisition plans are usually too broad and not well-defined in a world of limited budgets and expanding number of titles. The personal tastes and views of one professor may not be the same as another. The library tries to please all, but if communications between the faculty/students and the library is poor, books will not be procured until requested. By the time the acquisition librarian learns about a required title and initiates a buy that title may be out-of-print. In a survey of 100 college and university libraries, 74% of those responding indicated an increase in the number of books going out-of-print. [Ref 7:p. 211]

As discussed above with short production runs and "remaindering" sales, if the library does not place its order when the title announcement is made, the book may soon be out-

of-print. The acquisition librarian would then need to spend more time investigating other sources or vendors. Some publishers can provide a photocopy, but at twenty-five cents a page, the costs add up. The extra resources required to obtain the requested publication or provide photo copies eat away at already declining acquisition budget. [Ref. 9:p. 19]

D. THE WHOLESALER OR JOBBER

The third part of the process is the middleman. The jobber is an individual who earns his living on the book margins given by the publisher and the services paid for by the librarian.

The jobber would like the librarian to think of him as an extension of the library's acquisition department. The jobber, especially the larger ones, handles millions of dollars worth of books each year and deal with thousands of publishers. The jobber can maintain inventories of monographs for immediate resale or collect orders that are then passed to a publisher. Instead of developing acquisition plans for a faculty or university, they must have an acquisition plan based on the needs of many universities. Poor performance on their part does not result in faculty displeasure, but in lost customers and lost sales. The problems of a small library are magnified hundreds of times. [Ref 9:pp. 17-19]

The jobber, however, can play an important position in reducing costs for a small library. The price of a monograph

is only a portion of the total costs in obtaining publications. The total cost must include the search costs, such as telephone calls, online costs and correspondence, (possibly to more than one vendor to obtain competitive prices). Total cost also include the ordering costs of typing up orders, claiming costs, and the comptroller costs of processing and paying invoices. On top of this can come expediting charges if the library needs to rush the delivery of the publication. Finally, changing vendors because of lack of performance can start the whole process over. [Ref. 9:pp. 18-19]

If the process can be passed to one vendor, so only one order needs to be made for a batch of 100 books, then only one invoice needs to be paid and receipts will be made in batches vice individual packing. The bulk transaction economies can reap benefits for both the jobber and the library. [Ref. 9:p. 18]

Libraries that really take advantage of these economies of scale are those that find a jobber that can provide the routine and annual buys. Routine publications are easily defined, usually the new and important works of the field. [Ref. 9:p. 19]

If the librarian allows the vendor to provide these routine buys for the majority of its acquisitions on approval, the library acquisition department can then work on the difficult to obtain special orders such as non-standard publications, foreign, joint public conferences and technical

reports. These orders usually arise from changes in faculty members or curriculum. If the acquisition staff can define this niche of routine buys in their work load, they can set up an approval plan to cover these books. The pushing of these titles to the library will save pre-order, order and claiming time by the acquisition staff and selection time by the collection development staff. The extra time saved by the library staff can be used to fill in the gaps of its collection. The key, however, is to have an approval plan that meets this need and doesn't produce more problems to negate the benefits of this system. [Ref. 9:p. 19]

The approval plan system does work, however, because in a recent sample of libraries with monographic acquisition departments, 90% of them used approval plans. [Ref. 10:p. 38]

E. SUMMARY

The monographic marketplace is made up of publishers, wholesalers and libraries. The marketplace has undergone some major changes in the last 30 years. The publishers have switched to short production runs and limited inventories. The libraries have found that inflation and an explosion in the number of scholarly publications have decreased their buying power. They have had to switch to more focused buying and a reliance on jobbers to get the best value from their budgets. The use of approval plans has enabled civilian

libraries to identify and receive the publication early and to reduce the costs associated with acquiring the monograph.

III. THE APPROVAL PLAN

A. APPROVAL PLANS

One of the earliest approval plans was initiated by Albion College in Albion, Michigan in 1884-85. The college library had:

> An arrangement with Phillips & Hunt, whereby we are to receive for examination monthly installments of the newest books in various departments, thus enabling us to keep up with the very best thought. [Ref. 11:pp. 133-134]

In the 1960's, approval plans became popular with libraries whose acquisition budgets were growing faster than their personnel budgets. These plans were broad, designed to bring in as many books as possible without regard to type or cost. As funds were reduced for collection, approval plans were left for the very large universities. The smaller colleges and research libraries had to be more selective. The small libraries, with limited acquisition departments and funding, who could use the benefits of an automated ordering system the most, were driven away from the approval plans because they had no clearcut understanding of what an approval plan could do. [Ref. 9:p. 17]

The approval plan of the 1980's is a more refined method of monograph selection. The collection development is described in terms of a profile. The profile is stated in terms of subject and non-subject parameters. For example, a

profile on the subject Administrative Science would be broken down into sub profiles of accounting, economics, management, production, etc. Accounting could be further broken down into cost accounting, financial accounting, managerial accounting, etc. The subject parameter can also exclude subject areas, i.e., not to include historical accounting. The development policies would be reviewed in terms of subject coverage and collection depth.

The subject profiles are initially developed from a vendor thesaurus of subject titles. The thesaurus's contain hundreds of subject parameters broken down into hierarchy of subjects.

Profiles can also be based on non-subject parameters.

- level of difficulty.
- type of library.
- readership level of library.
- type of book (reference, textbook, etc.).
- type of editing.
- language of book.
- original or reprint.
- format (paperback, hardbound, etc.).
- geographical aspects.
- type of publisher or specific publishers.
- year of publication.
- price of book.

The approval plan will also specify requirements as to:

- timeliness of material.
- reprints.
- returns.
- payment.
- material not handled.
- management reports.
- vendor services.

The approval plan should indicate timeliness of shipments, i.e., weekly, biweekly, or monthly. In addition, the vendor should indicate the average time from publication of the monograph until he is able to ship it to the library. Timeliness is required for both direct shipments and notification slips and is related to the number ordered and quantity of publications the vendor maintains in stock.

The approval plan should define what it considers a reprint and how it will be handled under the plan. In addition, approval plans must state how returns will be handled and how payment of those monographs accepted will be made.

A specific section of the approval plan should indicate what type of material is not acceptable. Unacceptable material must be clearly defined so that both parties will have realistic expectations. The profile should also call for a built-in review and have a mechanism to monitor the effectiveness of its selections.

One way to monitor the approval plan and profile is by establishing management reports. Management reports can include a historical report of books supplied, a cost summary report, status of books report, number of books returned and number of books bought through notifications slips report. The management reports should be tailored to give the library the information it requires to not only monitor the approval plan but develop its total collection strategy.

Lastly, the approval plan cannot be expected to work without any problems. The vendor should state what kind of support he will provide for the resolution of problems. The vendor should provide a designated point of contact for all aspects of the book handling.

The goals of an approval plan are:

(1) to reduce costs and speed processing in the acquisition department;
(2) to enhance the quality of book selection and simplify the work flow associated with collection development;
(3) in particular to reduce the informational costs associated with the library's acquisition and collection development activities by means of vendor functions:
  (a) by performing pre-selection in a well-defined, predictable, consistent manner (usually this involves "running" the libraries profile against this week's batch of new titles.)
  (b) by not capriciously withholding titles from approval treatment (i.e., by defining a comprehensible section of world monographic output and rigorously treating for approval all new titles). This requires the vendor to perform publisher contact and bibliographic searching functions.
  (c) by supplying bibliographic slips and ensuring that the bibliographic data are up to the highest standards. This requires the vendor to perform many of the functions of a technical services department.

(d) by making available to the library reports of approval activity suitable for management purposes. [Ref. 3:p. 14]

Part three, informational costs, is intended to make use of the vendors' efforts and not duplicate the efforts with the library's own acquisition staff.

B. ADVANTAGES

- Development of a true collection policy.
- Timeliness.
- Less Not-in-Print notices.
- Returnability.
- More time to work on the hard to find titles.
- Lower total costs of monograph procurement.
- Alternative opportunities of freed labor.
- A systematic process to monitor the publishing output.
- Flexibility.

One of the main advantages is that the library will be required to focus on a collection policy. For some libraries, this could be the first time they have been able to do this. The dialogue between faculty, library and vendor could prove very beneficial to the library. Although this may take some time to formulate an accurate description of the policy, it is vital to ensure that the approval plan will work.

Improved timeliness will come from the fact that the vendor with a large staff and the benefits of automated systems will be covering many publishers. The vendor will be

one of the first organizations notified by the publisher and his ability to order quickly will be a great benefit to the library. This constant monitoring will also reduce the out-of-print notices associated with short runs or the libraries inability to cover the market in a timely fashion.

The returnability of books acts as a safety valve for those marginal titles that do not fit in the collection. Again, this is where a well-defined collection policy and approval plan are important. If the approval plan is accurate, returns should be kept to a minimum.

The benefits of lower costs, less workload for the acquisition staff, and thus more time to expedite other publications have already been discussed. Another goal, however, is the improved information gathering capacity of the approval plan. The ability for these vendors to systematically cover a broader proportion of the world output is especially important to the smaller libraries. By providing this information to the library, the acquisition department will not need to duplicate this effort.

The last benefit is the flexibility of approval plans. Approval plans can provide a layering of specifications. The first specification required for the collection will be by publisher or subject area. A second layer of specification would describe essential and nonessential needs. The last layer would provide specification for shipment of books or only notification slips. For essential publications,

selection is almost automatic and books should be sent immediately. However, for the marginal book, the nice-to-have selection can be done from notification slips. This flexibility will also increase the scope of most approval plans by allowing for more books to be covered by the plan. The ordering mechanism can be taken advantage of and a wider selection obtained at still reduced costs. This flexibility of specifications also allows the acquisition staff to submit special requests from the faculty and students to the approval plan first before having to look to other vendors.

Of course the approval plan is no panacea for all the acquisition staffs problems. There are problems or perceived problems with approval plans.

C. DISADVANTAGES

- The perception by some small college libraries that they cannot afford approval plans.
- The perception that the library is no longer selecting its publications.
- Some libraries perceive that selection can best be done by the library.
- Approval plans make it easy for poor selection.
- Approval plans are perceived to take too long to set up and administer.

Vendors that have approval plans, set $50,000 as the starting value. As such, most academic and research libraries can afford them, since approval plans can furnish up to 50% of the libraries' requirements. In a recent survey

of the 100-plus members of the Association of Research Libraries, 85% indicated their material budgets were over $100,000 [Ref. 12:p. 30]. Libraries will often counter that their budget will often vary and they cannot be locked into a contract for even this amount. The approval plan takes this into consideration. Approval plans are not meant to be firm, fixed-priced contracts but indefinite delivery, indefinite quantity type contracts. The approval plans are flexible. If a library's funds are running out at the end of the year, the vendors can change to sending notification slips vice the actual books. At the start of the next fiscal year, the books can then be ordered. The only risk to the library is that the publication may be out-of-print by the time it is ordered. [Ref. 3:p. 15]

Approval plans can be used as a fiscal planning tool for the comptroller. He may view it as a continuing obligation and resist the temptation of reducing the funds in midyear. Where in the past the book budget was an easy target for raiding by other departments or other library requirements, a funded contract may discourage this practice in the future.

The second perceived disadvantage is that the library has lost control over its book buying. However, this can only happen if the library allows it to. The approval plan is a selection mechanism. If the library cannot communicate its requirements, it will receive books it does not require. That is why so much time and effort must be put into initiating the

plan. If conditions change so that the approval plan is not working, the approval plan must be changed. [Ref. 3:p. 16]

The third point states the selection of books can best be done by the library. Of course, the collection development or acquisition librarian can make the best selection in a perfect environment and with perfect knowledge of the market, but the environment is not perfect. The approval plan is designed to make the same selection, but at a lower cost. For smaller libraries, they will need an acquisition or collection development staff that has access to all the publishers' catalogs, announcements, national bibliographies and journals and the time to read the announcements and reviews. In addition to the ordering of the publication, they will need to satisfy all the faculty/student requests that may or may not agree with the reviews. Faculty inputs can be contradictory and often not timely. It will be hard enough to get faculty input for an approval plan let alone constant everyday ordering. Faculty are constantly out-of-town, on sabbatical, or just too busy to meet with the library when the library needs his input. [Ref. 3:pp. 16-17]

The fourth point states that approval plans allow for poor selection. Some libraries charge that there is an impulse to select the book that is sent to the library even when the book does not fit in the collection, claiming it is easier to accept than to send it back. Again, this problem is at the control of the librarian. He must have the discipline to send

it back, and if it happens too often, to change the approval plan. [Ref. 3:p. 18]

The last point is that approval plans require too large an expenditure to initiate unless followed for some years. This may be true for the development, but the time put into setting up a good approval plan is usually rewarded by less administrative and procurement lead time. Of course, the opposite is also true. Poor set-up will usually increase administrative time; i.e., more book returns, harder selections. But once a good approval plan is established and the faculty and acquisition staff both understand what it can and cannot do, it will take very little time to administer. In fact, the annual or semiannual profile reviews will be all that are required to make adjustment for course or publishing changes. [Ref. 3:p. 18]

D. HOW TO SELECT AN APPROVAL PLAN VENDOR

Source selection is based on cost, technical skills and management ability of the vendor. Cost is the easiest to determine and on other contracts the only criterion used in awarding a contract. The vendor is required to provide a pricing mechanism. This pricing mechanism is tied to the publisher's current list price and is a percentage discount, percentage service charge increase, or is sold at current list price. Tieing the cost to the publisher's current list price enables the library to compare bids from various vendors. The

vendor is incentivized to provide as many books as possible. The library's ability to return books prevents the vendor from not following the approval plan profile.

Source selection on cost alone would have drawbacks. The vendor must base his bid on the discount or costs associated with the type and quantity of monographs the library's collection requires. There is a disincentive for the vendor to not provide publications that exceed the vendor's markup. A case in point is where the vendor agrees to provide all publications to the library at a cost of 10% below the publisher's current list price. The vendor is relying on a quantity discount from publishers to make his profit. If the publisher is not giving any discounts, it is not in the best interest for the vendor to supply that publication. The vendor may only supply those publications that provide a profit. This is why a detailed and specific approval plan is mandatory and why approval plans should not be awarded only on a cost basis. The approval plan should be divided into categories that have the same discount rates, such as trade publications, textbooks, society publications, etc.

Technical skills and management ability of the vendor should also be rated. Both criteria are subjective and difficult to measure. One means is through a point system. Before vendor proposals are requested, the library should determine what technical skills and managerial ability is required and assign weights to each item. Weights can be

assigned to vendor experience, vendor's profiling method as compared to the libraries' requirements, the quality and applicability of statistical reports, the ability to change the profile and delivery or timeliness of the material.

If the library is unfamiliar with the ability of the wholesale industry, the library can use a two-step contracting method. The first step is to request from the vendors their ideas for the approval plan. The library then evaluates each proposal and selects the requirements that best meets their needs. The complexities of comparing vendors is increased by not adequately being able to measure a vendor's technical capability. It is one thing for a vendor to say he is able to deliver and another thing to have a contract to ensure he delivers. The new set of requirements is then solicited to each vendor. The award is based on a weighted scale of cost, technical skill and management ability.

The effort required to set up an approval plan and the difficulties in changing vendors suggest that the contract should be an annual contract with a number of option years.

IV. PRIMARY RESEARCH RESULTS

A. INTRODUCTION

The data presented concerning the military libraries were accumulated through 30 telephone interviews with acquisition librarians within the Department of Defense. The interviews were done in August and September of 1989. A complete listing of those contacted is contained in Appendix A. The libraries selected were chosen from The Directory of Federal Libraries [Ref. 13] and the Directory of Special Libraries and Information Centers [Ref. 14].

The libraries selected and the questions used in the survey were designed to determine the contracting methods used by the DoD libraries. In addition, the size and type of library was identified to compare various libraries with the procurement methods used by the library. Finally, an open-ended question on the library's level of satisfaction of the procurement system was solicited to ascertain any problems or benefits obtained through the procurement system.

The researcher, because of his familiarity with the Navy, concentrated on Navy libraries. However, Army, Air Force and Joint Department of Defense libraries were also surveyed. Of the 30 Libraries surveyed, two-thirds were Navy and one-third were other Services. The survey also concentrated on the larger libraries. Libraries that would have book buying

budgets over $50,000 and thus would gain more benefits from approval plans. The survey questioned 12 academic libraries (40% of the academic libraries in DoD), five special libraries, four general libraries, six engineering and science libraries, and three training center libraries.

B. SURVEY QUESTIONS AND RESULTS

1. Question One

Do you procure your own monographs or do you use a base supply/procurement office or both?

Purpose: The purpose of this question was to ascertain who actually did the contracting for the library.

Response: All the libraries contacted used a base supply or procurement office to some extent. In addition, ten of the libraries had authority to make blanket purchase agreement calls and one had procurement authority to make purchase orders.

2. Question Two

What type of contracts were used to purchase the monographs? A list of six methods was provided.

- Blanket purchase agreements (BPA).
- Purchase orders (PO).
- Indefinite delivery type orders (IDTC).
- FEDLINK contracts.
- Basic ordering agreements (BOA).
- Other.

Purpose: The contract type will indicate the administrative time and effort required to purchase the monograph.

Response: Since all the libraries used a base supply or procurement office, the following contracting methods were used by those support organizations. Base supply and procurement offices are able to use more than one contract type when supporting the libraries. The contracting method used most was purchase orders (27 libraries), followed by blanket purchase orders (25 libraries), FEDLINK (15 libraries), indefinite delivery type contracts including GSA Federal supply schedules (14 libraries), other methods (one library), and basic ordering agreements (zero libraries).

3. Question Three

What percent of your monograph buys were done through the use of approval plans, standing orders, and/or firm orders?

Purpose: The three methods as discussed in Chapter II are the primary methods used by the civilian libraries.

Response: Only three of the 30 libraries surveyed used approval plans. Two libraries stated 40% of their books were obtained through approval plans and the third stated 70%. In addition, two libraries stated they used standing orders for 25% and 28% of their purchases respectively. The remainder of the libraries (26) used firm orders exclusively.

Of those libraries that used approval plans and standing orders, all were academic libraries.

4. Question Four

What is the size of your library? To indicate the size, three characteristics were asked: (1) total number of books, (2) dollar value of yearly monograph budget falling in three categories; <$50,000, $50,000-100,000 and >$100,000, and (3) number of library personnel employed.

Purpose: The purpose of question four is to ascertain if the size of the library impacts on the procurement method. The <$50,000 level was used because $50,000 is the minimum dollar level recommended by jobbers to establish an approval plan. The $50,000-100,000 level was used because most civilian libraries procure 50% of their monographs through approval plans, i.e. a doubling of the $50,000 minimum. Since some libraries were unable to give accurate book and personnel counts, the figures contained in The Directory of Special Libraries and Information Centers were used for conformity [Ref. 14].

Response: The three libraries that used approval plans had book totals ranging from 79,000 to 449,000 and monograph budgets in excess of $100,000. The number of library personnel in these libraries ranged from 16 to 74. A breakdown by library type is given in Table 1.

TABLE 1

SURVEY BY LIBRARY TYPE

Library Type	Total Books	Budget*	Total Personnel
Academic	Avg. 200,914 Range 4,100- 449,000	2@ <$50K 1@ $50-100K 8@ >$100K	Avg. 33.17 Range 2-74
Special	Avg. 79,723 Range 15,000- 228,000	2@ <$50K 1@ $50-100K 1@ >$100K	Avg. 15.8 Range 7-33
General	Avg. 69,125 Range 4,500- 232,000	3@ <$50K	Avg. 3 Range 0-10
Engineering & Science	Avg. 38,700 Range 12,200- 53,000	4@ <$50K 1@ $50-100K 1@ >$100K	Avg. 11.83 Range 3-24
Training Center	Avg. 64,153 Range 6,000- 100,650	2@ <$50K	Avg. 7.3 Range 2-13

* Four libraries could not provide budget data.

5. Question Five

Are you satisfied with how the library's monographs are procured?

Purpose: This question is included to obtain both negative and positive inputs from library personnel concerning the procurement of monographs.

Response: Of the 30 libraries surveyed, five stated they were satisfied with the way monographs were procured, nine had no opinion and 16 stated problems. Of the problems stated most were associated with the supply department or procuring office. Comments from those libraries are listed

below in order of the frequency of response. The total number of comments listed exceeds the total number of libraries surveyed as some libraries made more than one comment.

- The supply department gives our requisitions low priority. (6x)
- The supply department is slow in handling the requisitions. (6x)
- Books are going out-of-print before we can buy them. (4x)
- The library is forced to do follow-ups after the contract is awarded. (3x)
- The vendors are not reliable. (2x)
- The price of books is too high. (1x)
- There is no consistency in buying by the supply department buyers. (1x)
- Contracting does not understand the buying of monographs. (1x)
- Contracting provides poor technical service. (1x)

The comments made by the acquisition librarians were not all negative. The following statements were made on the benefits of monograph acquisition:

- Approval plans are great.
- FEDLINK is great.
- The use of blanket purchase agreements by the library staff has improved service.

V. MILITARY LIBRARIES

A. STRUCTURE

The Department of Defense maintains 1090 libraries. The majority, 456, are General Libraries designed to provide a wide variety of publications to a base or station. However, the Department of Defense also maintains 216 Law Libraries, 121 Special Libraries, 116 Health and Medical Libraries, 100 Engineering and Science Libraries, 36 Training Center Libraries and 30 Academic Libraries (see Figures 1 and 2). The libraries range in size from the large academic libraries with over 500,000 books to small post or ship libraries of a few thousand titles where no dedicated librarian is assigned. [Ref. 13:pp. 20-91]

B. GOVERNMENT LIBRARY PROCUREMENT

The survey of 30 DoD libraries found three methods for procurement of monographs. The library could send the request to base supply or a local procurement office, they could obtain procurement authority and procure the monograph themselves, or they could order the book through a FEDLINK interagency agreement. The interagency agreement will be discussed in Chapter VI. Most libraries do not restrict themselves to one method but use a combination of these methods.

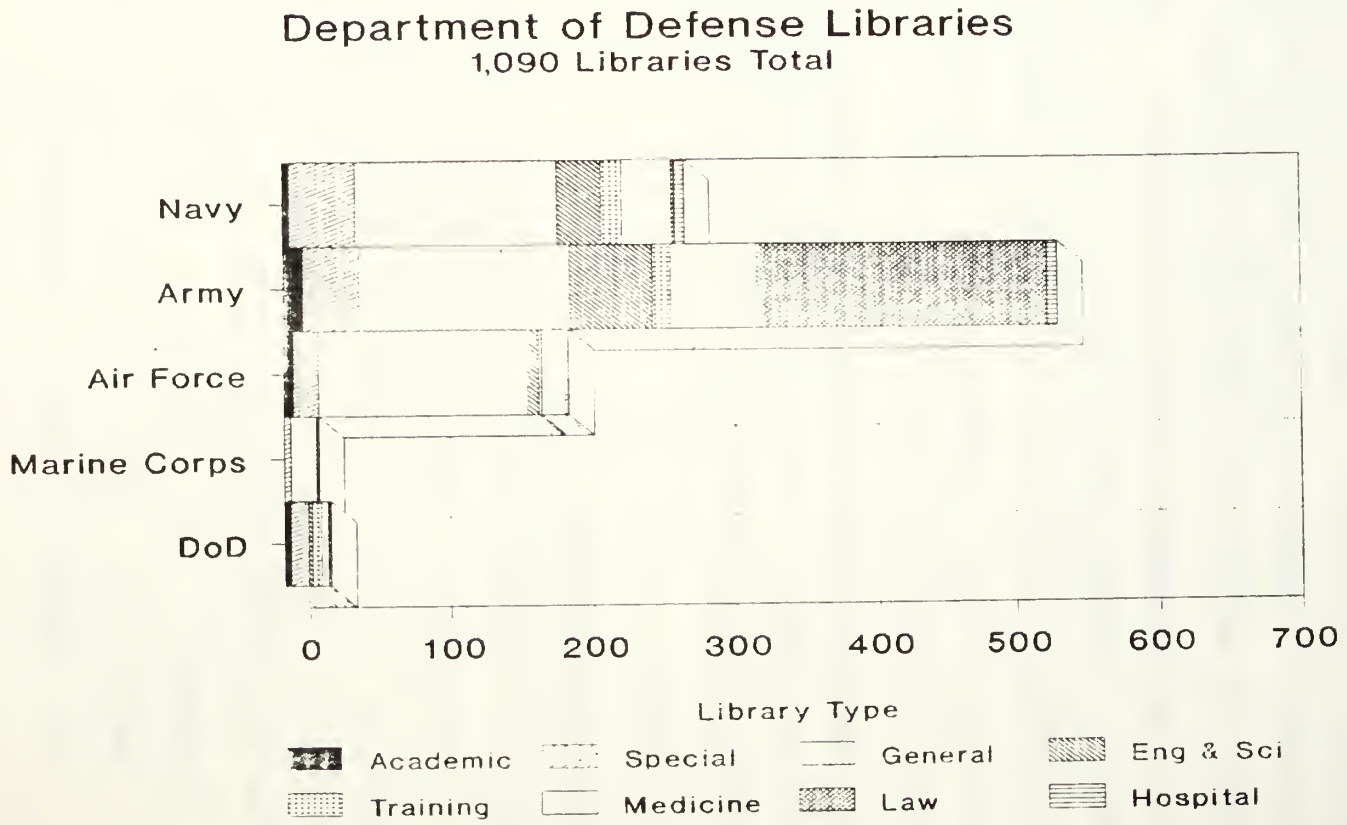


Figure 1. DoD Libraries by Service

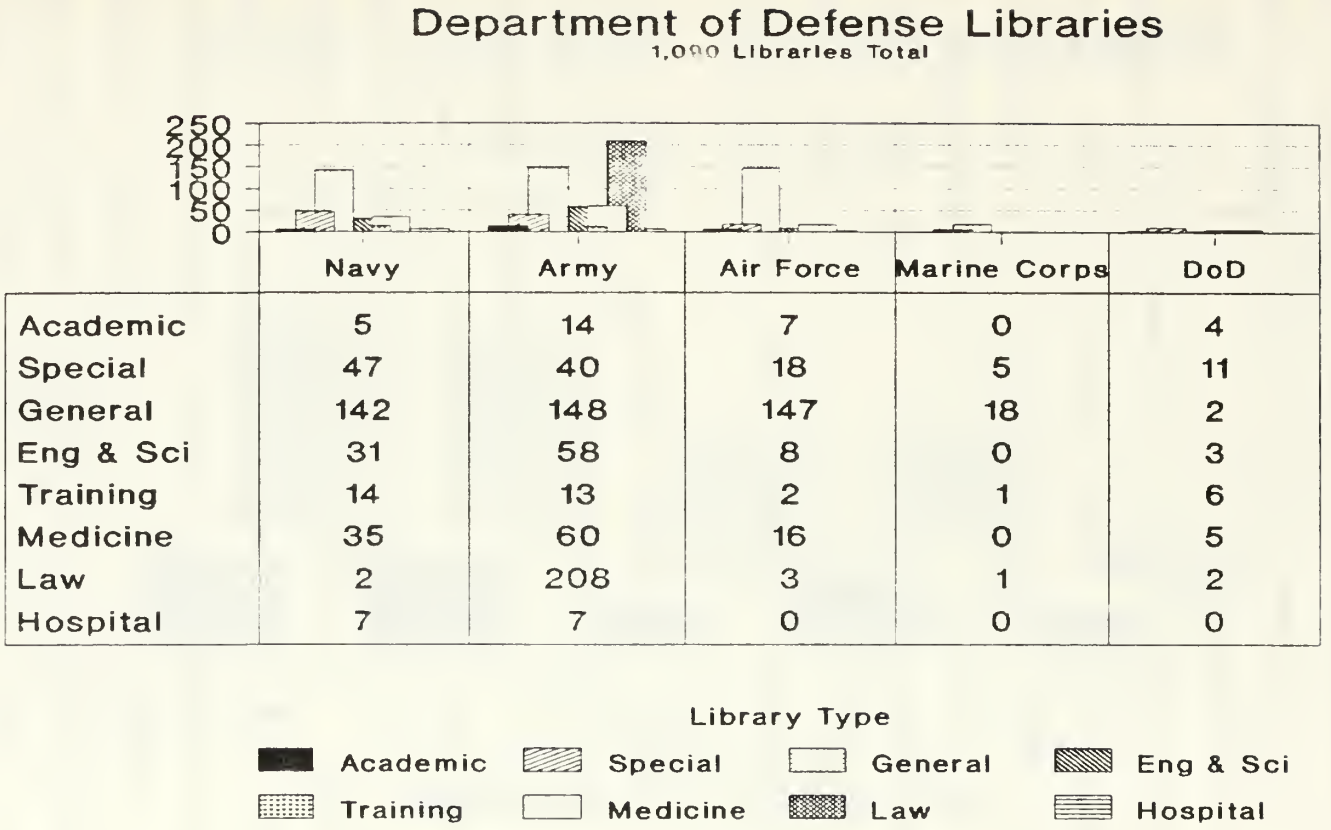


Figure 2. DoD Libraries by Type

1. Local Procurement Office

Of the libraries surveyed, 100% use the local procurement office to some extent. The smaller offices are more likely to send over all their requirements. In these instances, the procurement office can use a variety of methods to procure the monograph.

Most of the buys the procurement office makes fall into the small purchase classification. A small purchase is defined as a supply contract for which the aggregate amount does not exceed $25,000. Blanket purchase agreements (BPA's) and purchase orders (PO's) are two of the most common and efficient methods of procurement. In the survey, 90% of the libraries used purchase orders and 83% used blanket purchase agreements (Figure 3).

A blanket purchase agreement is a simplified alternative used in filling repetitive needs for supplies and services by establishing a "charge account" with qualified vendors [Ref. 15:p. 13.4]. Blanket purchase agreements reduce administrative costs by setting up an agreement for ordering with each vendor. The contracting office then places orders with the vendor, who combines orders into one bill, usually at the end of the month. The blanket purchase method does not relieve the contracting office of procurement requirements such as, competition, socio-economic programs and pricing requirements. The BPA does, however, provide a simplified method for oral solicitation, discussion and award.

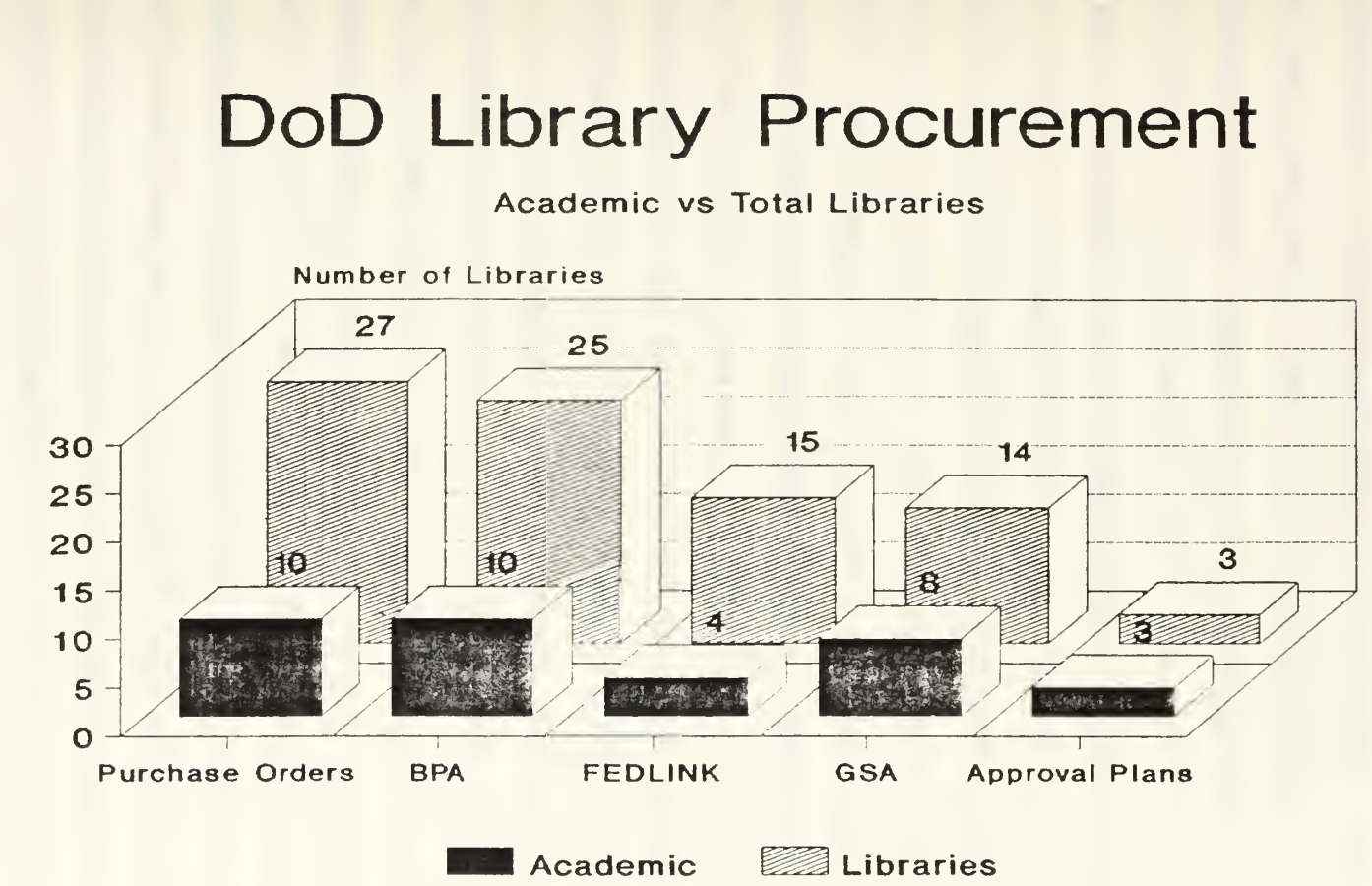


Figure 3. DoD Library Procurement

The purchase order is a more formal, written method. Instead of the terms and conditions being set up in advance of the contract like in the case of BPA's, the contract contains all the terms and conditions. A purchase order, DD Form 1155, prepared by the government, is an offer to buy supplies and services. The vendor accepts the terms and conditions and a contract is formed when the vendor fills the requirements. It is usually used when a large number of line items are being procured, when the dollar amount exceeds the limits for a BPA or when the vendor does not provide sufficient business to set up a BPA. [Ref. 15:pp. 13.8-13.10]

Two other methods used by the base procuring office for buying monographs are General Services Administration (GSA) contracts or indefinite delivery type contracts (IDTC's). The General Services Administration through Federal Supply Schedules provides Federal agencies with a simplified process for obtaining commonly used supplies and services. The Federal Supply Schedules provide supplies and services at volume buying prices, usually substantially lower than the local market price. The base procuring office issues delivery orders directly to the schedule contractor for the monographs. The Federal Supply Schedules can be either single-award schedules made to one contractor or multiple-award schedules covering more than one supplier. Multiple-award schedules are awarded to suppliers of the same generic type of items within the same geographic area. The Federal Supply Schedules, as

stated on each contract, can be either optional or mandatory for the Federal agencies. The GSA contracts for monographs are no longer mandatory. Although the GSA schedules are limited to a few specific vendors and types of publications, they are used when they offer the best price. As such they are consulted for every monograph purchase. [Ref. 15:pp. 8.7-8.11]

The indefinite delivery type contract is similar to a GSA contract. However, it is set up by a local procurement office to meet the specific needs of that library. There are three types of indefinite delivery type contracts: definite-quantity contracts, requirement contracts and indefinite-quantity contracts. The indefinite delivery type contract is used when the exact times and/or quantity of future deliveries is not known at the time the contract is awarded. The IDTC contracts usually state a maximum and minimum quantity that will be ordered during the time of the contract. The advantages of this type of contract are that they allow for flexibility in both quantity and delivery scheduling. The indefinite delivery type contract allows for prices to be based on catalogue or market prices. The price to be paid is determined by establishing an adjustment factor and applying it to the price in industry wide pricing guides or manufacturer's price catalogues. The survey showed 50% of the libraries were able to use indefinite delivery type contracts,

either in the form of GSA contracts or local IDTC. [Ref. 15:pp. 16.11-16.12]

Further advantages of an IDTC are that procurement requirements for competition, socio-economics programs and pricing can be accomplished when the contract is set up, unlike the blanket purchase agreement. Once the contract is set up, delivery orders are made against the contract containing the terms and conditions authorized in the original contract. This allows the procurement office to expedite the contract. An example of IDTC will be discussed later in the Air University use of an Approval Plan. [Ref. 15:pp. 16.11-16.12]

The use of local procurement offices contains two major drawbacks for the libraries. The first is an increase in the procurement lead time required to obtain the publications and the second is a lack of understanding on the part of the procurement office of the monographic marketplace.

The procurement lead time can be increased 30 or more days by using the above methods. Table 2 provides planning estimates for various contract types.

These time frames reflect the time required to satisfy the procurement regulations and the volume of requirements the procurement office receives and can vary between different base-procuring offices. The time limits in Table 2 are presented as an example. The government must ensure that a fair and reasonable price was obtained, that socio-economic

TABLE 2

PROCUREMENT LEAD TIME

NAVY (in days): [Ref. 16:pp. 1-3]

	BPA	IDTC	GSA	PO	OVER $25k
Call in	7	5	30	14	
Written	30-45	15	60	30-45	130

AIR FORCE (in days): [Ref. 17:p. 7]

BPA	IDTC	GSA	PO	OVER $25K
n/a	5-15	5-15	10-25	165

programs are maintained and that the priorities of the procurement office are followed.

This leads into the second major drawback of the local procurement office, i.e., a lack of understanding of the monographic marketplace. In the survey, 53% of the libraries stated the local procurement office lacked knowledge of the book buying market. The buyers receive a list of required monographs from the library along with a suggested source of supply, usually a jobber. The buyers often assign a low priority to these buys since they do not view them as mission essential. The buyers then call various vendors in an attempt to get competitive, firm fixed prices. As discussed in the second chapter, jobbers find it difficult to provide individual price quotes on monographs that are not in their inventory. They prefer to work with large orders from regular customers that provide more profit. In addition to the

difficulties of obtaining firm fixed prices, the additional time required to procure increases the chances that the monograph will be out-of-print. The procurement personnel do not have the background or do enough buys to gain the experience to know which jobbers are most likely to provide a given book in the shortest time with the least follow-up required.

2. Library Requests Procurement Authority

One way for the libraries to bypass the use of the local procurement offices is to request their own procurement authority. They can do this in one of three ways: obtain authority to issue purchase orders, obtain permission to use BPA's, or obtain permission to order against an IDTC. Libraries can obtain procurement authority through their chain of command as delegated by the defense agencies [Ref 15:p. 1.6].

Only one library in the 30 surveyed had actual contracting authority, one-third had authority to make BPA calls and 10% had authority to order against an IDTC. The libraries that had BPA authority used it to place 80-90% of their buys. The most common reason for using BPA's was timeliness, i.e., the ability to keep their requisitions out of the queue at the local procurement office.

Problems, i.e., abuses, with libraries having their own procurement authority include: not rotating the orders around to the various contractors as required under current

regulations, not obtaining firm fixed prices and placing orders without obligating the required funds. The libraries do not rotate orders because they favor one or two vendors that provide better service. BPA's are used only on a cost basis with a requirement to spread the business around to all qualified vendors. The level of service is usually the minimum required. However, jobbers that provided more than the minimum were given all the calls, against the provisions that require calls to be spread among the BPA holders. Libraries also bypass the requirement to get a firm fixed price. This is done in order to place the call faster. Calls without a firm fixed price require a modification of the price when the invoice comes in. The last misuse is placing orders without a contract (unauthorized commitments) in order to obtain a monograph that has not been published yet and no price has been established. These misuses of the BPA procedures have caused some libraries to lose their BPA authority. The libraries that order against an IDTC have all set up approval plans. The use of approval plans will be discussed under the Air University Plan.

3. Interagency Agreements

In the survey, 50% of the libraries use an interagency agreement to order their monographs. The interagency agreement is with the Library of Congress using the FEDLINK contracts. The FEDLINK contracts will be discussed in Chapter VI.

C. CENTRAL PROCUREMENT BY THE UNITED STATES AIR FORCE

One other method of monograph procurement is with a central procurement office. Under the Headquarters Air Force Military Personnel Center, Directorate of MWR, Community Support Programs Division, Library and Information Services Branch (HQAFMPC/DPMSPL) at Randolph AFB, Texas, the Air Force has set up a central procurement system to reduce workload and gain economies and efficiencies of combined buying. The central procurement office provides blanket purchase agreements, blanket delivery orders (IDTC), and interagency agreements (FEDLINK) procedures for the central buying of library materials. The Air Force provides centralized procurement and funding to all Air Force libraries except for a few specialized activities listed in Air Force Regulation 215-15. [Ref. 18:p. 23]

The Air Force was able to achieve dollar savings of 25-75% from consolidated purchases. Orders flow from librarians to command librarian's for funding and then directly to vendors. The consolidated orders do add lead time to the procurement of monographic publications and add to the work load of DPMSL staff. The use of computers and the specialization of the staff, however, increase the efficiency of the system. The use of a central procurement office dedicated to library materials increases the priority of each requisition because it no longer has to compete with the requirements of a base or station. [Ref. 17:pp. 5-7]

D. AIR UNIVERSITY--GOVERNMENT USE OF APPROVAL PLANS

The Air University is one of the three libraries surveyed that use approval plans. The Air University contract with Baker and Taylor, a major monograph wholesaler, is provided in Appendix B. The contract is an indefinite delivery type contract that requires the vendor to provide three items:

- Library books on approval, consisting of newly published imprint monographs from trade and university presses as specified by Air University Library.
- Library books on firm order, consisting of those types listed above, ordered by means of an Air University Library order form.
- Library books on standing order (continuation), consisting of those type of books publishing in series on a yearly or more frequent basis and supplied to Air University Library as published, after an initial standing order request is made to the contractor by the Air University LIbrary.

The contract then calls out the specification/descriptions of the books. The specifications require the contractor to provide monographs based on a subsequently developed subject profile. The profile is developed from a contractor owned subject terminology thesaurus of at least 6000 subject terms in hierarchial format. The profile is administered by an automated system and tailored by 15 non-subject parameters.

The books are then selected from this profile and shipped bi-weekly on an approval basis. Those books that closely resemble but do not match the profile will be placed on notification slips. The contract further calls for

management information reports along with 17 other services for processing and managing the monographs.

The use of approval plans changes the normal offer and acceptance of a contract. Under the earlier methods of monograph procurement, the offer was made by the government and accepted by the vendor. With approval plans, the offer is made by the vendor and the acceptance is made by the government. Receipt of the publication by the government does not in itself constitute a contract.

The contractor is given an estimate of the quantity and dollar value of the monographs annually purchased by the library and is required to bid in one of three ways:

- Publisher's current list price, no discount.
- Publisher's current list price less discount (stated %).
- Publisher's current list price plus handling and/or postage charges (stated %).

The contractor bids on a base year plus four option years.

The evaluation and award are based on the following factors in relative order of importance: (1) Technical Merit Critical Factors, (2) Experience, (3) Price, and (4) Technical Merit Non-critical Factors. Factors (1) and (2) are of equal importance and Factor (4) carries an insignificant weight by comparison to the others.

The Technical Merit Critical Factors are:

- Development of an acceptable approval plan in accordance with specifications.
- Developing a profile from a subject terminology thesaurus of at least 6000 separate items.
- Ability to deliver as required.
- Single point of contact.
- Perform bookkeeping required by the specifications.
- Furnish free telephone service.
- Furnish reports.

As seen in the evaluation factors, Air University is not looking for the lowest price but the best value. The approval plan is looked at as a method of developing their collection and as a means of procurement. As such, technical ability of the contractor is of equal importance when compared with price. A contractor's ability to deliver all the monographs necessary to their collection at a reasonable price is more important than a contractor that can provide some of the monographs at the lowest price.

The Air University estimated for the first year, $28,000 worth of monographs would be ordered under the approval plan, $112,000 under firm orders and $28,000 under standing orders. The actual amounts, however, by August of 1989 were $56,000 for the approval plan, $50,000 from firm orders and $34,000 for standing orders. The amount of monographs obtained through the approval plan doubled from their estimate, while firm orders were decreasing, indicating that the approval plan was providing the monographs faster

than their own collection development staff could identify and order the monograph. The success of the approval plan is evident in the amount of monographs that it is able to obtain.

The Air University estimated that less than 3% of the books are returned or disapproved. They also praised the ability to make better selection decisions because they were able to view the monograph itself rather than an announcement or review. The Air University set up a committee of four individuals, department heads in the library, to review each monograph. The four option years provide continuity with the vendor, yet the ability to re-advertise if the discount rate on monographs increases.

E. SUMMARY

DoD libraries use a variety of methods to procure monographs. The Air University's approval plan along with the Air Force's central procurement are the most effective in reducing acquisition time and costs associated with monograph procurement.

Those libraries that have BPA authority are forced by the market place to bend the rules or spend additional time getting quotes. The time required to fulfill contracting requirements takes away from the collection development. Libraries that use base supply or procurement offices just pass these costs onto another government agency. The procurement office's lack of understanding of the marketplace

causes the use of procurement methods that are inefficient, time consuming and often ineffective. These methods not only increase the acquisition cost but delay the procurement. Procurement delays increase the chances that the publication will go out-of-print before it is procured.

VI. FEDERAL LIBRARY AND INFORMATION NETWORK (FEDLINK)

A. MISSION

Officially organized in 1976 through the creation of bylaws and the election of an advisory council, the Federal Library and Information Network (FEDLINK) is a nationwide network for federal libraries and information centers. FEDLINK is the operating component of the Federal Libraries and Information Center Committee (FLICC), an organization established by the Librarian of Congress. FLICC's purpose is to promote cooperation between federal libraries and increase the effectiveness of their resources through professional development, promotion of services and coordination of resources. [Ref. 19:p.1]

FEDLINK's mission is to:

- Obtain services, products and systems to achieve more efficient and cost effective utilization of federal library and information resources.
- Provide for formal relationships between FEDLINK members and networks and bibliographic utilities.
- Represent the interests and concerns of member libraries and information centers.
- Provide training and demonstrations in network services and new library and information technology for the benefit of federal libraries and information centers.
- Engage in other related matters serving the member libraries and information centers. [Ref. 19:p. 2]

B. SERVICES

FEDLINK receives its procurement authority through the General Services Administration (GSA) and negotiates contracts for commercial services in the library and information fields. FEDLINK contracts fall into four categories of library services: information retrieval services, library automation services, material acquisition services, and library support and advisory services. [Ref. 20:p. 14]

Information retrieval services provide access to computer-based information files from various commercial and government databases. One type of information retrieval service is online information. This service is provided to the user via common telecommunication networks. The second type is compact disk-read only memory (CD-ROM). With this system the information is provided on hard polycarbonate disks that are read via a CD-ROM reader and a microcomputer. The third type is a gateway service such as Compuserve. The gateway is an electronic bulletin board that allows the user to access a variety of databases. The last type is a private file service. Under the private file service, the library provides the vendor with a bibliographic database. The vendor provides the hardware and/or software resources for information retrieval usually for geographically dispersed online access. [Ref. 20:p. 14]

The library automation services enables federal libraries to participate in national bibliographic utility

organizations. The three major bibliographic utilities are Online Computer Library Center, Inc. (OCLC), Research Libraries Information Center (RLIN), and Western Libraries Network (WLN). Library automation services can also provide automation to library functions such as acquisition, cataloguing, serials control, circulation, patron access, and bibliography production. [Ref. 20:p. 15]

The materials acquisition services provides centralized contracts that allow member libraries to order library materials directly from vendors. The invoices can either be paid locally or through FEDLINK. These contracts can provide substantial discounts not available to individual customers. The library material obtained through these contracts include monographs, serials, document delivery services, microform (material in microformat), and microfilming services. [Ref. 20:p. 15]

The library support and advisory services includes consulting, automation application, education, publications and an electronic bulletin board system provided by FEDLINK's own staff. [Ref. 20:p. 2]

C. MONOGRAPH PROCUREMENT

The Federal Library and Information Network solicited and awarded four basic ordering agreements (BOA) for books in fiscal year 1988. The agreements called for two additional option years in fiscal year 1989 and 1990. FEDLINK received

21 proposals of which eight were in the competitive range. The four contractors in which the BOA's were set up with are Ambassador Books, American Overseas, Baker and Taylor, and EBS Book Service. [Ref. 20]

The BOA's called for the contractors to furnish all qualified personnel, facilities, equipment and supplies for the placement of new book orders, foreign and/or domestic and related services to the 700 members of FEDLINK. The majority of FEDLINK members maintain libraries or information centers in the executive branch. The vendors could select one or all of the following categories:

- Books published and available in the U.S. including trade, textbooks, mass market paperbacks, trade paperbacks, and net or short discount books.
- Scientific/technical books published and available in the U.S.
- Medical books published and available in the U.S.
- Legal books published and available in the U.S.
- Association publications published and available in the U.S.
- Foreign and foreign language books.

The price is based on the publisher's list price less discount for single copies. In addition to the books the vendors can bid on optional features such as management reports, physical processing and cataloguing, microcomputer-based acquisition control systems, and a mainframe acquisition control system. [Ref. 22:pp. C1-C8]

Baker and Taylor was awarded the books published in the U.S. category with the following prices:

- Trade 40.1% discount
- Textbooks 10.1% discount
- Mass Market Paperback 40.1% discount
- Trade Paperbacks 40.1% discount
- Net Discount Books 10.1% discount

During the month of June, 1989, Baker and Taylor provided books to 168 Federal Libraries of which 117 were in the Department of Defense. In the survey of 30 DoD libraries, 50% of the libraries used the FEDLINK book buying services. [Ref. 21]

1. Procedures

Federal agencies can use the FEDLINK contracts via a service account. The service account is set up through an interagency agreement executed by the participating agency and the Library of Congress. The agency requiring services sends FEDLINK a service registration form indicating the services requested and service dollar amounts. FEDLINK fiscal operations prepares the interagency agreement and includes the Library of Congress administrative and overhead fees. The fiscal year 1990 fees are $200 per service for transfer of funds, $300 per service if the federal agency retains the invoice paying function. FEDLINK also charges 2% of the transferred services dollars as a FEDLINK transfer fee and 4%

of the transferred services dollars as a Library of Congress overhead charge. [Ref. 20:pp. 2-11]

Once the interagency agreement is in place, the Library of Congress contracting officer will issue a purchase order with each vendor specified. Each federal agency can then start placing orders with that vendor. The use of FEDLINK contracts does not preclude any requirement for local, agency, headquarters, DoD, or federal authority and approval for the acquisition of ADP equipment, other equipment, software, goods and services. Each federal agency is responsible for assuring all appropriate clearances and approvals are obtained and in place before signing the interagency agreement. [Ref. 20:p. 6]

FEDLINK allows two service account options. The first option is the direct pay option. Under direct pay, the federal agency issues the purchase order directly to the vendor. Vendor invoices are then sent to the agency for payment. The agency only pays the Library of Congress the $300 per service administrative fee. The second option is the transfer option. Under this option, the federal agency transfers funds to the Library of Congress. The library of Congress contracting officer issues the purchase order to the vendor. The federal agency then orders from the vendor who in turn bills the Library of Congress. The agency pays for the annual services, a $200 per service administrative fee,

and a 6% overhead charge based on the level of annual services. [Ref. 20:p. 10]

2. Basic Ordering Agreements (BOA)

The basic ordering agreement is similar to a BPA in that the BOA sets up advance contract terms and clauses; a description of the supplies and services; and a method of pricing, issuing and delivering future orders. Like a BPA, the BOA is not a contract. The BOA is used to expedite contracting when the specific item, quantities or prices are not known. However, it is known that a substantial number of requirements for those goods and services are anticipated. [Ref. 15:p. 16.15]

Contracting officers representing any government activities listed in the BOA may issue orders using the terms and conditions of the agreement. The contracting officer must obtain competition and ensure that the BOA is not prejudicial to other offerors. [Ref. 15:p. 16.15]

Under the direct pay option of FEDLINK. the agency placing the purchase order would need to obtain competition with other vendors before placing an order against a BOA. Those agencies using the transfer method would rely on FEDLINK to obtain the competition.

3. Approval Plans

The Library of Congress contracting officer amended their BOA with Baker and Taylor in 1988 to include use of approval plans. The approval plan works in much the same way

as its approval plan for the Air University. Each library sets up a profile of required monographs from a contractor provided thesaurus. The contractor then ships the new publications that meet the profile to the library for approval.

FEDLINK requires the contractor to provide the same prices established in the BOA and invoice in the same manner. No invoice can be sent in advance of the title approval. In addition, Baker and Taylor must assume all responsibility and liability for the shipment and return of unwanted titles. The approval plan in effect allows the library to select based on actually viewing the publication. Of the 30 DoD libraries surveyed, only one used the approval plan. The other 29 libraries did not know that the approval plan was available under FEDLINK.

D. SUMMARY

FEDLINK provides a valuable service to its member libraries. By establishing contracts and more importantly, ordering and paying mechanisms, FEDLINK provides a simple, direct method for member libraries to procure books. The libraries no longer have to go through a base supply or procurement office that can add 30 or more days on to the procurement lead time.

A secondary benefit is achieved through the interagency agreement. The interagency agreement locks in the funds for

collection development at the beginning of the fiscal year. The comptroller is discouraged from reducing the funds during the year to meet other needs.

FEDLINK's approval plan allows libraries to view the monograph before selection and as demonstrated with the Air University's approval plan allows for faster access to publications and for better collection.

FEDLINK is not without problems. The use of BOA's under the direct pay method does not reduce the need to obtain competition for the libraries. The use of one purchase order also does not adequately describe the product being procured. In addition, the use of only four contractors does not provide the range and depth required for all the federal libraries.

VII. CONCLUSIONS AND RECOMMENDATIONS

A. SUMMARY

The use of approval plans for the collection and procurement of monographs by civilian libraries has increased in the past few years. The approval plan was designed to cover the entire publishing output and identify those monographs required by the library at a lower cost than the library's own acquisition staff could obtain.

This research has looked at the use or possible use of approval plans by DOD libraries. The research presented a review of the monographic marketplace and a detailed description of the approval plan. It also presented an in-depth review of the procurement methods in use by DOD libraries. Problems inherent in the procurement methods were also examined. Research data were collected from two primary sources: (1) a review of current literature, and (2) personal and telephone interviews with DOD and Library of Congress personnel.

This research has discovered benefits and problems associated with approval plans. The benefits and problems were presented in a manner that libraries can decide if approval plans meet their needs. Additionally, possible solutions to current contracting problems have been offered to increase the benefits of approval plans.

B. CONCLUSIONS

This research has led to several conclusions.

- Conclusion 1. That the changing marketplace has increased the use of approval plans by civilian libraries.

Civilian libraries have benefited by the use of approval plans to cover the publishing output and identify those requirements detailed in a preapproved profile. Although the approval plan does not provide for the procurement of all monographs, it does obtain a significant portion at a reduced cost to allow the acquisition and collection development departments alternative opportunities of freed labor.

- Conclusion 2. The limited use of the approval plans in DOD libraries not only increased the libraries' ability to identify and obtain monographs, thus improving the collection development, but also reduced the costs associated with procuring the monograph.

The few DOD libraries that used an approval plan are finding the same benefits the civilian libraries find. In addition, the use of IDTC and FEDLINK contracts allow DOD libraries to bypass the local procurement offices, order directly from the vendor and substantially reduce the procurement lead time. The reduction of procurement lead time by either the procuring office or the library's acquisition department reduces the overhead costs of these departments and allows the library to have a required title within the time requested by the end user.

- Conclusion 3. The use of FEDLINK BOA's by agencies under the direct pay method does not significantly reduce their workload.

Since the BOA is an agreement and not a contract, the agencies are still required to seek out and obtain competition. The use of only four contractors in an industry containing thousands of contractors does not ensure that competition is achieved. The agencies are still required to solicit the industry.

- Conclusion 4. FEDLINK agreements with only four of the industry vendors do not adequately represent the industry or provide for the needs of its member libraries.

The type of member libraries range from large academic libraries to small base libraries, including specialized medical, law, engineering and training libraries. The use of only four vendors does not provide the wide range of services required by these diverse libraries.

C. RECOMMENDATIONS

- Recommendation 1. Large DOD libraries should use approval plans for the procurement of monographs.

Those DOD libraries with a monograph budget of $50,000 could use either a local IDTC or FEDLINK contracts to reduce procurement costs and increase the speed of collection development. As demonstrated with the Air University's approval plan, the approval plan provided more monographs and reduced the need to do direct orders. In addition, the approval plan reduced the need to go through base supply and enabled the library to order directly with the vendor and thus reduce procurement lead time.

- Recommendation 2. DOD libraries, regardless of size, should find alternatives to base supply and/or local procurement offices for the procurement of monographs.

Base supply and procurement offices do not have the resources or knowledge of the marketplace to make effective buys. The use of a central procurement office, IDTC or FEDLINK contract allows for direct ordering between the library and the vendor, thus reducing the lead time required by a local procurement office.

- Recommendation 3. FEDLINK should change contract types from BOA's to IDTC and award to more vendors that cover the requirements of its member libraries.

The IDTC would provide not only the terms and conditions required by the contract but would ensure that competition, socio-economic programs and pricing were determined at the time of contract award. When a requirement exists, a delivery order can be quickly prepared and submitted to the vendor holding the IDTC. Those agencies using direct payment method would only have to order against already established contracts. No further need for competition would be required. In addition, IDTC's could be set up for each category of library, i.e., academic, law, medical, engineering.

D. REVIEW OF RESEARCH QUESTIONS

A summarized response to each research question, primary and secondary is provided below:

- Secondary Question 1. What are the methods civilian libraries use to procure their monographic publications?

Chapters II and III provide response to this question. Civilian libraries have responded to changes in the monographic marketplace by developing approval plans to cover the publishing output and procure items that are routine and easily identifiable. In addition, civilian libraries use standing orders and firm orders for the remainder of their buys.

- Secondary Question 2. What are the methods Department of Defense libraries use to procure their monographic publications?

As discussed in Chapters IV and V, Department of Defense libraries can use a base supply/procurement office; they can obtain procurement authority and contract directly with the vendor; or they can use an interagency agreement such as FEDLINK.

- Secondary Question 3. How does the library monographic marketplace influence these methods?

As described in Chapter II, the expanding marketplace has changed to short production runs and limited inventories. The publications can go out-of-print in as little as three years. Wholesalers are providing collection gathering services vice individual sales. As such, DOD libraries are finding it harder to obtain firm fixed prices on individual orders.

- Secondary Question 4. What are the procurement methods allowable under the Federal Acquisition Regulation for procurement of monographic publication?

As discussed in Chapter V, the contract types used by Department of Defense libraries include: purchase orders,

blanket purchase agreements, indefinite delivery type contracts, and basic ordering agreements.

- Secondary Question 5. Would an indefinite delivery type contract with option years, such as the one being utilized by the Air University Library, enable the use of approval plans for other government libraries?

Indefinite delivery type contracts can be used for approval plans. In addition to Air University, two other academic libraries were using a local IDTC approval plan. This method is best used for those libraries that have in excess of $50,000 monograph budgets and whose collection can be adequately described in a collection profile.

- Secondary Question 6. How does the Federal Library and Information Network (FEDLINK) work and can it be modified to include approval plans?

Chapter VI describes the functions of FEDLINK, which has been modified to include the use of approval plans.

- Primary Research Question. Can the procurement of library monographic material be improved through the use of contracts that allow approval plans?

As the secondary questions have described, procurement with approval plans will provide for better collection development, reduce procurement lead time and costs associated with procurement, and free acquisition and collection development staff for the less routine selections.

E. AREAS FOR FURTHER RESEARCH

- A cost benefit analysis on the use of approval plans. The researcher should compare the costs of individual procurement of monographs from various sources to the cost associated with the use of an approval plan with one or more vendors.

- A quantification of the costs and time delays imposed by current government procurement practices and regulations and a comparison with civilian library ordering costs.

- An analysis of decentralized procurement versus the Air Force's centralized procurement of monographic publications.

- An analysis of the most effective way to implement an approval plan at a local library, to include: the setting up of the solicitation's statement of work, a source selection criteria, and internal controls for the monitoring of the contract after award.

APPENDIX A

INTERVIEWEES

1. Aylward, J.F.
   Administrative Librarian
   Naval Education and Training Center, Main Library
   Newport, Rhode Island
   28 September 1989

2. Barth, J.
   Head of Collection Development
   United States Military Academy Library
   West Point, New York
   6 October 1989

3. Byers, V.
   Acquistion Librarian
   Dallas Naval Air Station Library
   Dallas, Texas
   28 September 1989

4. Campbell, B.
   Naval Underwater Systems Center Library
   New London, Connecticut
   27 September 1989

5. Chan C.
   Catalogue Librarian
   Defense Language Institute Library
   Monterey, California
   28 September 1989

6. Crawley, M.
   Technical Information Specialist (Acquisition)
   Naval Sea Systems Command, Library
   Washington, D.C.
   27 September 1989

7. Dakan, T.
   Air Force Command Librarian
   Randolf AFB, Texas
   6 October 1989

8. Danchik, J.
Acquisition Librarian
United States Naval Academy
Annapolis, Maryland
27 September 1989

9. Deidre-Coraggio, M.
Acquisition Librarian
Naval Weapons Center, Technical Library
China Lake, Califronia
27 September 1989

10. Edwards, J.
Acquisition Librarian
Mare Island Naval Shipyard, Technical Library
Vallejo, California
27 September 1989

11. Fritz, D.
Senior Librarian
Naval Air Engineering Center, Technical Library
Lakehurst, New Jersey
29 September 1989

12. Gutridge, M.
Acquisition Librarian
Naval Surface Weapons Center, Technical Library
Silver Springs, Maryland
28 September 1989

13. Helling, J.
Director of Library
Armed Forces Institute of Technology, Library
Wright-Patterson AFB, Ohio
29 September 1989

14. Huang, D.
Head Librarian
Naval Air Development Center, Scientific and Technical Library
Silver Springs, Maryland
29 September 1989

15. Klinker, K.
Contracting Officer
Library of Congress
Landover, Maryland
11 September 1989

16. Kohutiak, B.
Reference Librarian
United States Army War College, Library
Carlisle Barracks, Pennsylvania
2 October 1989

17. Kuntsal, M.
Acquisition Librarian
Naval Postgraduate School Library
Monterey, California
Various

18. McDonald, L.S.
Federal Library Information Center Committee
Washington, D.C.
11 September 1989

19. McDysan, D.F.
Army Librarian
Library Management Office
Alexandria, Virginia
6 October 1989

20. McGee, M.
FEDLINK Coordinator
Federal Library Information Center Committee
Washington, D.C.
11 September 1989

21. McIntyre, Roy
Head of Technical Services
Air University
Maxwell AFB, Alabama
8 August 1989

22. Nelson, M.
Acquisition Librarian
United States Air Force Academy Library
Colorado Springs, Colorado
28 September 1989

23. Menard, M.K.
Collection Development Librarian
Naval Postgraduate School Library
Monterey, California
Various

24. O'Brien, M.L.
Acquisition Librarian
Armed Forces Staff College, Library
Norfolk, Virginia
28 September 1989

25. O'Mara, M.
Head of Technical Library
Naval Explosive Ordinance Disposal Technology Center, Library
Indian Head, Maryland
27 September 1989

26. Powstanski, A.
Chief of Technical Services
National Defense University Library
Washington, D.C.
28 September 1989

27. Rollins, M.
Acquisition Librarian
Naval Surface Weapons Center, Library
Dahlgren, Virginia
29 September 1989

28. Sellier, D.
Acquisition Librarian
Matthew Fontaine Maury Oceanographic Library
National Space Technology Laboratories
Bay St. Louis, Mississippi
29 September 1989

29. Sylvia, L.
Acting Collection Development/Acquisition Librarian
Naval War College
Newport, Rhode Island
27 September 1989

30. Taylor, D.
Library Technician
Naval Air Systems Command, Library
Washington, D.C.
27 September 1989

31. Westerbury, V.
Keesler AFB Academic Library
Keesler AFB, Mississippi
28 September 1989

32. Vajda, J.
Acquisition Librarian
Navy Department Library
Washington, D.C.
27 September 1989

33. Zimmerman, N.
Acquisition Librarian
David Taylor Naval Ship Research and Development Center,
Technical Library
Bethesda, Maryland
29 September 1989

APPENDIX B

AIR UNIVERSITY CONTRACT

Appendix B contains sections A through J and section M, the evaluations factors for award, of the Air University contract number F01600-88-D0083.

AWARD/CONTRACT J	1 THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 350)	RATING C9E	PAGE OF PAGES 1 | 37
2 CONTRACT (Proc. Inst. Ident.) NO F01600-88-D0083	3 EFFECTIVE DATE	4 REQUISITION/PURCHASE REQUEST/PROJECT NO FL336880210001	

5 ISSUED BY CODE
BASE CONTRACTS OFFICE
3800 ABW/LGCS, Bldg 835,
Maxwell AFB, AL 36112-5320

6 ADMINISTERED BY (If other than item 5) CODE
Base Contracts Office
3800 ABW/LGCC, Bldg 835
Maxwell AFB, AL 36112-5320

7 NAME AND ADDRESS OF CONTRACTOR (No., street, city, county, State and ZIP Code)
BAKER & TAYLOR CO.
501 S. Gladiolus Street
Momence, IL 60954

REMIT TO: BAKER & TAYLOR CO.
Dept. 2003
Chicago, IL 60673

8 DELIVERY
[ ] FOB ORIGIN [X] FOB DESTINATION XXXXXXXXXXXX

9 DISCOUNT FOR PROMPT PAYMENT
NET

10 SUBMIT INVOICES (4 copies unless otherwise specified) TO THE ADDRESS SHOWN IN ITEM SEE SECTION H.b.II.a.(1) BLOCK 11

CODE FACILITY CODE

11 SHIP TO/MARK FOR CODE
AU LIBRARY/LSB
Bldg 1045, Rm 122
Maxwell AFB, AL 36112-5564
MARK FOR: Delivery Order Number

12 PAYMENT WILL BE MADE BY CODE
Accounting and Finance Office
HQ AU/AFCM, Bldg 678
Maxwell AFL, AL 36112-5320

13 AUTHORITY FOR USING OTHER THAN FULL AND OPEN COMPETITION
[ ] 10 U.S.C. 2304(c)( ) [ ] 41 U.S.C. 253(c)( )

14 ACCOUNTING AND APPROPRIATION DATA
THIS IS A REQUIREMENTS CONTRACT. FUNDS WILL BE CITED BY DELIVERY ORDER.

15A ITEM NO	15B SUPPLIES/SERVICES	15C QUANTITY	15D UNIT	15E UNIT PRICE	15F AMOUNT
	Accepted as to Items 0001b, 0002b, and 0003b as Amended by Amendments 0001 dated 24JUN88, 0002 dated 30JUN88, and 0003 dated 1AUG88, and incorporating Contractor's letters of 6JUL88 and 9AUG88. AUL has the option to renew for four additional years. FAR Clause 52.219-9, Small Business and Small Disadvantaged Business Subcontracting Plan, is deleted.				ESTIMATED
				15G TOTAL AMOUNT OF CONTRACT ▶	$144,816

16. TABLE OF CONTENTS

(X)	SEC	DESCRIPTION	PAGE(S)	(X)	SEC	DESCRIPTION	PAGE(S)
		PART I – THE SCHEDULE				PART II – CONTRACT CLAUSES	
	A	SOLICITATION/CONTRACT FORM			I	CONTRACT CLAUSES	
	B	SUPPLIES OR SERVICES AND PRICES COSTS				PART III – LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACH	
	C	DESCRIPTION/SPECS WORK STATEMENT			J	LIST OF ATTACHMENTS	
	D	PACKAGING AND MARKING				PART IV – REPRESENTATIONS AND INSTRUCTIONS	
	E	INSPECTION AND ACCEPTANCE			K	REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF OFFERORS	
	F	DELIVERIES OR PERFORMANCE			L	INSTRS., CONDS., AND NOTICES TO OFFERORS	
	G	CONTRACT ADMINISTRATION DATA			M	EVALUATION FACTORS FOR AWARD	
	H	SPECIAL CONTRACT REQUIREMENTS					

CONTRACTING OFFICER WILL COMPLETE ITEM 17 OR 18 AS APPLICABLE

17 [ ] CONTRACTOR'S NEGOTIATED AGREEMENT (Contractor is not required to sign this document.) Your bid on Solicitation Number F01600-88-R0041 including the additions or changes made by you which additions or changes are set forth in full above, is hereby accepted as to the items listed above and on any continuation sheets. This award consummates the contract which consists of the following documents: (a) the Government's solicitation and your offer, and (b) this award contract. No further contractual document is necessary.

18 [X] AWARD (Contractor is not required to sign this document.) Your offer on Solicitation Number F01600-88-R0041 including the additions or changes made by you which additions or changes are set forth in full above, is hereby accepted as to the items listed above and on any continuation sheets. This award consummates the contract which consists of the following documents: (a) the Government's solicitation and your offer, and (b) this award contract. No further contractual document is necessary.

19A NAME AND TITLE OF SIGNER (Type or print)

20A NAME OF CONTRACTING OFFICER
SCHAHRESAD FORMAN

19B NAME OF CONTRACTOR | 19C DATE SIGNED
BY

20B UNITED STATES OF AMERICA | 20C DATE SIGNED
BY (Signature of Contracting Officer) | 29 Sep 88

SOLICITATION, OFFER AND AWARD

1 THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 3501)	RATING	PAGE OF
▶	C9E	1 | 51 PAGES

2 CONTRACT NO	3 SOLICITATION NO	4 TYPE OF SOLICITATION	5 DATE ISSUED	6 REQUISITION/PURCHASE NO
F01600-88-D0083	F01600-88-R0041	☐ SEALED BID (IFB) ☒ NEGOTIATED (RFP)	88JUN02	FL336880210001

7 ISSUED BY	CODE	8 ADDRESS OFFER TO (If other than Item 7)
Base Contracts Office 3800 ABW/LGCS, Bldg 835 Maxwell AFB AL 36112-5320		

NOTE In sealed bid solicitations "offer" and "offeror" mean "bid" and "bidder"

SOLICITATION

9 Sealed offers in original and only copies for furnishing the supplies or services in the Schedule will be received at the place specified in Item 8, or if handcarried, in the depository located in Room 227, Bldg 835, Maxwell AFB AL 36112-5320 until 3:00PM (Hour) local time 88JUL06 (Date)

CAUTION – LATE Submissions, Modifications and Withdrawals See Section L, Provision No 52.214-7 or 52.215-10. All offers are subject to all terms and conditions contained in this solicitation

10 FOR INFORMATION CALL:	A NAME	B TELEPHONE NO (Include area code) (NO COLLECT CALLS)
▶	BETTIE H. MADDOX	(205)293-6792

11 TABLE OF CONTENTS

(X)	SEC	DESCRIPTION	PAGE(S)	(X)	SEC	DESCRIPTION	PAGE(S)
PART I – THE SCHEDULE				PART II – CONTRACT CLAUSES			
X	A	SOLICITATION/CONTRACT FORM	1	X	I	CONTRACT CLAUSES	22-28
X	B	SUPPLIES OR SERVICES AND PRICES/COSTS	2-12	PART III – LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACH			
X	C	DESCRIPTION/SPECS /WORK STATEMENT	13-15	X	J	LIST OF ATTACHMENTS	29
X	D	PACKAGING AND MARKING	16	PART IV – REPRESENTATIONS AND INSTRUCTIONS			
X	E	INSPECTION AND ACCEPTANCE	17-19		K	REPRESENTATIONS CERTIFICATIONS AND OTHER STATEMENTS OF OFFERORS	30-42
X	F	DELIVERIES OR PERFORMANCE	19	X			
X	G	CONTRACT ADMINISTRATION DATA	19	X	L	INSTRS CONDS AND NOTICES TO OFFERORS	43-48
X	H	SPECIAL CONTRACT REQUIREMENTS	20-21	X	M	EVALUATION FACTORS FOR AWARD	49-51

OFFER (Must be fully completed by offeror)

NOTE Item 12 does not apply if the solicitation includes the provisions at 52.214-16, Minimum Bid Acceptance Period

12 In compliance with the above, the undersigned agrees, if this offer is accepted within _____ calendar days (60 calendar days unless a different period is inserted by the offeror) from the date for receipt of offers specified above, to furnish any or all items upon which prices are offered at the price set opposite each item, delivered at the designated point(s), within the time specified in the schedule

13 DISCOUNT FOR PROMPT PAYMENT (See Section I, Clause No 52.232-8)	10 CALENDAR DAYS %	20 CALENDAR DAYS %	30 CALENDAR DAYS %	CALENDAR DAYS %
▶			NET	

14 ACKNOWLEDGMENT OF AMENDMENTS (The offeror acknowledges receipt of amendments to the SOLICITATION for offerors and related documents numbered and dated)	AMENDMENT NO	DATE	AMENDMENT NO	DATE
	0001	88JUN24		
	0002	88JUN 30		

15A NAME AND ADDRESS OF OFFEROR	CODE / FACILITY	16 NAME AND TITLE OF PERSON AUTHORIZED TO SIGN OFFER (Type or print)
BAKER & TAYLOR CO. 501 S. GLADIOLUS ST MOMENCE, IL 60954	DUNS067404020	MARIAN MURRAY, MANAGER, CUSTOMER RELATIONS AND SALES ADMINISTRATION

15B TELEPHONE NO (Include area code)	15C CHECK IF REMITTANCE ADDRESS IS DIFFERENT FROM ABOVE ENTER SUCH ADDRESS IN SCHEDULE	17 SIGNATURE	18 OFFER DATE
815-472-2444	☒	[signature]	07/11/88

AWARD (To be completed by Government)

19 ACCEPTED AS TO ITEMS NUMBERED	20 AMOUNT	21 ACCOUNTING AND APPROPRIATION
		This is a requirements contract. Funds will be cited by delivery order.

22 AUTHORITY FOR USING OTHER THAN FULL AND OPEN COMPETITION	23 SUBMIT INVOICES TO ADDRESS SHOWN IN (4 copies unless otherwise specified)	ITEM
☐ 10 U S C 2304(c)( ) ☐ 41 U S C 253(c)( )	▶	25

24 ADMINISTERED BY (If other than Item 7)	CODE	25 PAYMENT WILL BE MADE BY	CODE
Base Contracts Office 3800 ABW/LGCC, Bldg 835 Maxwell AFB AL 36112-5320		Accounting and Finance Office Hq AU/AFCM, Bldg 670 Maxwell AFB AL 36112-5260	

26 NAME OF CONTRACTING OFFICER (Type or print)	27 UNITED STATES OF AMERICA (Signature of Contracting Officer)	28 AWARD DATE

IMPORTANT – Award will be made on this Form, or on Standard Form 26, or by other authorized official written notice

NSN 7540-01-152-8064
PREVIOUS EDITION NOT USABLE

33-133

STANDARD FORM 33 (REV. 4-85)
Prescribed by GSA

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
	Library books per specification in Section C on an as required basis for the period 1 Oct 88, or date of award, whichever is later, through 30 Sep 89, with four (4) options to renew annually for a total of five (5) years.				
0001	Library books on approval, consisting of newly published imprint monographs from trade and university presses as specified by Air University Library (AUL) See Specifications Sec C.		ENTER	BID ON FOLLOWING PAGES	
0002	Library books on firm order, consisting of books similar to those types listed above, ordered by means of an Air University Library order form. See Specifications - Sec C.		ENTER	BID ON FOLLOWING PAGES	
0003	Library books on standing order (continuation) consisting of those types of books published in series on a yearly or more frequent basis and supplied to Air University Library as published, after an initial standing order request is made to the contractor by Air University Library. See Specifications - Sec C.		ENTER	BID ON FOLLOWING PAGES	
	Offerors have the prerogative to make an offer in one of four methods on each item by checking the appropriate blocks.				
	1. PUBLISHERS LIST PRICE WITH NO DISCOUNT AND NO HANDLING AND/OR POSTAGE CHARGES.				
	2. PUBLISHERS LIST PRICE WITH NO DISCOUNT PLUS HANDLING AND/OR POSTAGE CHARGES.				
	3. PUBLISHERS LIST PRICE LESS DISCOUNT WITH NO HANDLING AND/OR POSTAGE CHARGES				
	4. PUBLISHERS LIST PRICE LESS DISCOUNT PLUS HANDLING AND/OR POSTAGE CHARGES.				
	THE PRICES OFFERED FOR EACH ITEM SHALL INCLUDE ALL CHARGES CONNECTED WITH THE CONTRACTOR'S FURNISHING THE THESAURUS, DEVELOPING THE PROFILE, AND FURNISHING VARIOUS LISTS, HISTORIES, COST SUMMARIES, ETC., ENUMERATED IN SECTION C, AS WELL AS THE COST OF THE BOOKS.				

BASIC YEAR
1 Oct 88 - 30 Sep 89

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0001	Library books on approval, consisting of newly published imprint monographs from trade and university presses as specified by Air University Library (AUL). See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	1,200/ea	$28,000	NONE	$
B (X)	Publisher's current list price less discount	1,200/ea	$28,000 minus	15.5 %	$ 23,660
C ( )	Handling and/or postage charges added to publisher's current list prices	1,200/ea	$28,000 plus	%	$
0002	Library books on firm order, consisting of books similar to those types listed above, ordered by means of an Air University Library order form See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	4,800	$112,000	NONE	$
B (X)	Publisher's current list price less discount	4,800	$112,000 minus	15.5 %	$ 94,640
C ( )	Handling and/or postage charges added to publisher's current list prices	4,800	$112,000 plus	%	$

BASIC YEAR
1 Oct 88 - 30 Sep 89

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0003	Library books on standing order, (continuation) consisting of those types of books publishing in series on a yearly or more frequent basis and supplied to Air University Library as published, after an initial standing order request is made to the contractor by Air University Library. See Specifications - Sec C. (Standing orders are subject to the availability of funds by Fiscal Year.)				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	600/ea	$28,000	NONE	$
B (X)	Publisher's current list price less discount	600/ea	$28,000 minus	5.3 % *	$ 26,516
C ( )	Handling and/or postage charges added to publisher's current list prices	600/ea	$28,000 plus	%	$
		Total Items 0001, 0002, 0003			$ 144,816

*THIS EXCLUDES THOSE ITEMS SOLD TO BAKER & TAYLOR AT NO DISCOUNT. THESE WILL BE SOLD AT NET.

OPTION YEAR ONE
1 Oct 89 - 30 Sep 90

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0001a	Library books on approval, consisting of newly published imprint monographs from trade and university presses as specified by Air University Library (AUL). See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	1,200/ea	$28,000	NONE	$
B (X)	Publisher's current list price less discount	1,200/ea	$28,000 minus	15.5 %	$ 23,660
C ( )	Handling and/or postage charges added to publisher's current list prices	1,200/ea	$28,000 plus	%	$
0002a	Library books on firm order, consisting of books similar to those types listed above, ordered by means of an Air University Library order form See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	4,800	$112,000	NONE	$
B (X)	Publisher's current list price less discount	4,800	$112,000 minus	15.5 %	$ 94,640
C ( )	Handling and/or postage charges added to publisher's current list prices	4,800	$112,000 plus	%	$

OPTION YEAR ONE
1 Oct 89 - 30 Sep 90

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0003a	Library books on standing order, (continuation) consisting of those types of books publishing in series on a yearly or more frequent basis and supplied to Air University Library as published, after an initial standing order request is made to the contractor by Air University Library. See Specifications - Sec C. (Standing orders are subject to the availability of funds by Fiscal Year.) Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	600/ea	$28,000	NONE	$_____
B (X)	Publisher's current list price less discount	600/ea	$28,000 minus	5.3 %	$26,516
C ( )	Handling and/or postage charges added to publisher's current list prices	600/ea	$28,000 plus	_____ %	$_____
		Total Items 0001a, 0002a, 0003a			$144,816



OPTION YEAR TWO
1 Oct 90 - 30 Sep 91

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0001b	Library books on approval, consisting of newly published imprint monographs from trade and university presses as specified by Air University Library (AUL). See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	1,200/ea	$28,000	NONE	$
B (X)	Publisher's current list price less discount	1,200/ea	$28,000 minus	15.5 %	$ 23,660
C ( )	Handling and/or postage charges added to publisher's current list prices	1,200/ea	$28,000 plus	%	$
0002b	Library books on firm order, consisting of books similar to those types listed above, ordered by means of an Air University Library order form See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	4,800	$112,000	NONE	$
B (X)	Publisher's current list price less discount	4,800	$112,000 minus	15.5 %	$ 94,640
C ( )	Handling and/or postage charges added to publisher's current list prices	4,800	$112,000 plus	%	$

OPTION YEAR TWO
1 Oct 90 - 30 Sep 91

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0003b	Library books on standing order, (continuation) consisting of those types of books publishing in series on a yearly or more frequent basis and supplied to Air University Library as published, after an initial standing order request is made to the contractor by Air University Library. See Specifications - Sec C. (Standing orders are subject to the availability of funds by Fiscal Year.)				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	600/ea	$28,000	NONE	$_____
B (X)	Publisher's current list price less discount	600/ea	$28,000 minus	5.3 %	$ 26,516
C ( )	Handling and/or postage charges added to publisher's current list prices	600/ea	$28,000 plus	_____ %	$_____
		Total Items 0001b, 0002b, 0003b			$ 144,816

OPTION YEAR THREE
1 Oct 91 - 30 Sep 92

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0001c	Library books on approval, consisting of newly published imprint monographs from trade and university presses as specified by Air University Library (AUL). See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	1,200/ea	$28,000	NONE	$_____
B (X)	Publisher's current list price less discount	1,200/ea	$28,000 minus	15.5 %	$ 23,660
C ( )	Handling and/or postage charges added to publisher's current list prices	1,200/ea	$28,000 plus	_____ %	$_____
0002c	Library books on firm order, consisting of books similar to those types listed above, ordered by means of an Air University Library order form See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	4,800	$112,000	NONE	$_____
B (X)	Publisher's current list price less discount	4,800	$112,000 minus	15.5 %	$ 94,640
C ( )	Handling and/or postage charges added to publisher's current list prices	4,800	$112,000 plus	_____ %	$_____

OPTION YEAR THREE
1 Oct 91 - 30 Sep 92

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0003c	Library books on standing order, (continuation) consisting of those types of books publishing in series on a yearly or more frequent basis and supplied to Air University Library as published, after an initial standing order request is made to the contractor by Air University Library. See Specifications - Sec C. (Standing orders are subject to the availability of funds by Fiscal Year.)				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	600/ea	$28,000	NONE	$
B (X)	Publisher's current list price less discount	600/ea	$28,000 minus	5.3 %	$ 23,516
C ( )	Handling and/or postage charges added to publisher's current list prices	600/ea	$28,000 plus	%	$
			Total Items 0001c, 0002c, 0003c		$ 144,816

OPTION YEAR FOUR
1 Oct 92 - 30 Sep 93

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0001d	Library books on approval, consisting of newly published imprint monographs from trade and university presses as specified by Air University Library (AUL). See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	1,200/ea	$28,000	NONE	$_____
B (X)	Publisher's current list price less discount	1,200/ea	$28,000 minus	15.5 %	$ 23,660
C ( )	Handling and/or postage charges added to publisher's current list prices	1,200/ea	$28,000 plus	_____ %	$_____
0002d	Library books on firm order, consisting of books similar to those types listed above, ordered by means of an Air University Library order form See Specifications - Sec C.				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	4,800	$112,000	NONE	$_____
B (X)	Publisher's current list price less discount	4,800	$112,000 minus	15.5 %	$ 94,640
C ( )	Handling and/or postage charges added to publisher's current list prices	4,800	$112,000 plus	_____ %	$_____

OPTION YEAR FOUR
1 Oct 92 - 30 Sep 93

ITEM NO.	DESCRIPTION	EST QT UNIT	EST ANNUAL DOLLAR RQMT	DISCOUNT HANDLING OR POSTAGE CHARGE	EST ANNUAL TOTAL AMOUNT AFTER APPLICATION OF FACTOR, IF ANY
0003d	Library books on standing order, (continuation) consisting of those types of books publishing in series on a yearly or more frequent basis and supplied to Air University Library as published, after an initial standing order request is made to the contractor by Air University Library. See Specifications - Sec C. (Standing orders are subject to the availability of funds by Fiscal Year.)				
	Check ( ) Item(s) Offered				
A ( )	Publisher's current list price with no discount	600/ea	$28,000	NONE	$_____
B (X)	Publisher's current list price less discount	600/ea	$28,000 minus	5.3 %	$ 26,516
C ( )	Handling and/or postage charges added to publisher's current list prices	600/ea	$28,000 plus	_____ %	$_____
		Total Items 0001d, 0002d, 0003d		_____	$144,816



PART I - THE SCHEDULE
SECTION C - DESCRIPTION/SPECIFICATIONS

1. The Air University Library is the largest and most comprehensive of all United States Air Force libraries and supports professional education, research and Air Force doctrinal studies of Air Force colleges, schools, institutes, centers and associated organizations of the Air University. Holdings at the library include 277,000 books and 111,000 bound journals. Timeliness in receiving materials for education and research is imperative since the length of the courses vary: two weeks for the Joint Flag Officer War Fighting Course; eight weeks for Squadron Officers School; ten months for Air War College and Air Command and Staff College. Unless those books are received quickly, the students are gone before their need is met. Therefore, contractor must maintain a stock of approximately 200,000 items.

a. Contractor shall furnish items in Section B in accordance with the following specifications:

(1) Reference Item 0001, 0001a, 0001b, 0001c, 0001d: Contractor shall ship approximately 1200 books on approval consisting of newly published imprint monographs from trade and university presses as specific by Air university Library (AUL) in a precisely modified subject profile. The profile is formulated cooperatively by AUt and the contractor after contract start and from contractor owned subject terminology thesaurus of at least 6000 subject terms in hierarchial format. The profile is administered by an automated system and additionally shall be tailored on the basis of the following non-subject parameters:

(1) level of difficulty (freshman-sophomore, etc.)

(2) type of library (4 yr liberal arts, univ., etc.)

(3) readership level

(4) type of book

(5) type of edition (including translated edition)

(6) language of book

(7) if translation, language of original

(8) original edition or reprint

(9) format (paperbound, halfbound, etc.)

(10) geographic aspects

(11) type of publisher

(12) year of publication

(13) type of series

(14) price of book

(15) country of original publication

PART I - THE SCHEDULE (CONT'D)
SECTION C - DESCRIPTION/SPECIFICATIONS

See A1

Books shall be matched by the contractor to AUL's profile and shipped bi-weekly on an approval basis. Those books approved will be retained and paid for; those not approved will be returned to the contractor at Government expense. In addition to books which match the profile, contractor shall select titles closely resembling the profile, approximately 100 ~~bi-weekly~~, and send to AUL a contractor furnished order slip for each title. If AUL desires the title, AUL will mark the order slip to so indicate and return it for the books to be shipped.

(2) Reference Item 0002, 0002a, 0002b, 0002c, and 0002d: Contractor shall ship approximately 4800 books on firm order. Of this number, approximatley 70% should be available and shipped from stock. The types of books are similar to those furnished under the approval plan, but are ordered on a firm order basis by means of an AUL order form.

(3) Reference Item 0003, 0003a, 0003b, 0003c, and 0003d: Contractor shall ship approximately 600 books on standing order (continuation) consisting of those types of books published in series on a yearly or more frequent basis. These are supplied to AUL as published, after an initial standing order request is made to the contractor by AUL. These are selected by AUL from contractor's list of all titles on a continuation service database, i.e., title, publisher, distribution, frequency, etc.

2. Excluded from the subject matter of this contract are:

(a) Books in quantity used as textbooks.

(b) U.S. Government Printing Office (GPO) publications.

(c) All books, serials and periodicals for which a mandatory source of supply has been established by the Government.

(d) Those items which a publisher will sell only to the ultimate user.

3. SERVICES: The contractor shall provide the following services:

a. On demand a quarterly printed report history of books supplied on approval to AUL over a specific period of time.

b. On demand, a cost summary of books supplied on approval to AUL over a specified period broken down by subject, (not more often than quarterly).

c. Selection forms pre arranged by subject and closely resembling profile for retrospective selection.

d. A sales representative who will make annual visits to AUL and who also will be available for problem resolution, upon request, at no additional cost to the Government.

e. A single designated point of contact responsible for all aspects of book handling, i.e., ordering, invoicing, accounts receivable, claiming, customer file maintenance, etc.

f. Toll free telephone service, or acceptance of collect telephone calls from the library in conducting book business.

g. Acceptance of telephonic requests rather than written requests when clarification of an item(s) is necessary.

PART 1 - THE SCHEDULE (CONT'D)
SECTION C - DESCRIPTION/SPECIFICATIONS

h. Process AUL complaints within three (3) working days of their receipt.

i. Notify AUL within ten (10) work days of receipt of order if unable to procure a title, providing reason for non-availability.

j. Obtain books that are no longer available from the publisher (but not yet declared out-of-print) from an alternate source, i.e., remainder dealers.

k. Supply non-U.S. origin books.

l. Supply out-of-print items. If out-of-print items can not be furnished at cost of books, any surcharge will require prior approval by AUL.

m. Interface capability between contractor's in-house system and AUL IBM PC (or compatible) hardware for electronic online title searching and verification.

n. On demand (not more often than monthly) a printed report showing the current status of all items on order for a particular AUL account, i.e., account no., date of order, order no., outstanding titles, back-order status, date shipped, etc.

o. A list, or microfiche, of all titles on the contractor's continuation service database, i.e., title, publisher, distributor, frequency, etc., and any updates.

p. Management information reports for both Approval and Continuation services, i.e., customer profile, status report, and shipment history by cost, by subject matter, etc., on a quarterly basis.

q. Contractor shall maintain 4 separate numbered accounts by author, title, cost, ISBN or ISSN for the approval plan books, for firm order books ordered in previous years, for firm order books ordered in current year and for standing order (continuation) books ordered in current year.

r. Status reports for firm order books which can not be shipped from stock shall be furnished with a brief explanation of the action taken and/or the approximate availability date.

PART I - THE SCHEDULE
SECTION D - PACKAGING AND MARKING

1. All preservation, packaging, packing and marking of the supplies called for hereunder shall be in accordance with the publisher's standard commercial practice, and all costs associated therewith, including mailing cost, are included in the price established herein.

2. Package shall be marked with the contract number for identification.

SECTION E - INSPECTION AND ACCEPTANCE

a. FAR 52.252.2 Clauses Incorporated By Reference (APR 1984)

This contract incorporates the following clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available.

Federal Acquisition Regulation (48 CFR Chapter 1) Clauses

CLAUSE NUMBER	TITLE	DATE
52.246-2	Inspection of Supplies Fixed Price	JUL 1985
52.246-4	Inspection of Services Fixed Price	APR 1984
52.246-16	Responsibility for Supplies	APR 1984

b. Clauses in Full Text.

3800 ABW/LGC

Inspection and acceptance will be by Chief, Book Systems Branch, Air University Library, Bldg 1405, Room 122, Maxwell AFB, AL (205) 293-7691.

PART I - THE SCHEDULE
SECTION F - DELIVERIES OR PERFORMANCE

a. FAR 52.252-2 Clauses Incorporated by Reference (APR 1984)

This contract incorporates the following clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available.

Federal Acquisition Regulation (48 CFR Chapter 1) Clause.

CLAUSE NUMBER	TITLE	DATE
52.212-9	Variation in Quantity	APR 1984
52.212-10( )*	Delivery of Excess Quantities of $100 or Less	APR 1984
52.212-15( )*	Government Delay of Work	APR 1984
52.247-34	F.O.B. Destination	APR 1984
52.247-54	Diversion of Shipment Under F.O.B. Destination Contracts	APR 1984

1. PERIOD OF CONTRACT:

Supplies or services to be furnished under this contract shall be ordered by the issuance of delivery orders by the Base Contracts Office, Maxwell AFB, Alabama for Air University Library (AUL), Maxwell AFB, Alabama. Orders may be issued under this contract from 01 October 1988 or date of award, whichever is later, through 30 September 1989: subject to any option(s) exercised as noted in Part I - Section H Special Contract Requirements, paragraphs c, d and e.

2. SHIPPING INSTRUCTIONS:

a. Items shall be shipped F.O.B. Destination and, unless otherwise noted, marked for:

SHIP TO: AU Library/LSB
Bldg 1405, Room 122
Maxwell Air Force Base, Alabama 36112-5564
MARK FOR: (Delivery Order Number)

b. Items are to be further marked to indicate the contract number, item number, quantity, commodity nomenclature and name of contractor.

3. SHIPPING INFORMATION: All shipping costs for books on approval will be at the contractor's expense (F.O.B. Destination). Unapproved books will be returned to the contractor at the Government's expense.

4. DELIVERY:

a. Books for approval will be forwarded in accordance with the profile established by the contractor and AUL. Contractor shall ship profile matching books at a frequency not less than bi-weekly. Each publication will be accompanied by the vendor's approval form which shall be placed in

PART I - THE SCHEDULE (CONT'D)
SECTION F - DELIVERIES OR PERFORMANCE

the corresponding book before shipment. These forms will contain basic bibliographic and non-bibliographic information, formatted in accordance with standard library practices, including the following elements:

(1) imprint
(2) series
(3) subject(s)
(4) LC alpha classification
(5) LC card number
(6) ISBN/ISSN
(7) country of origin
(8) country of publication
(9) price
(10) year of publication
(11) year reprinted
(12) statement detailing each non-subject characteristic of the book printed on a detachable parameter strip.

b. All shipments sent under the approval plan shall have the word "APPROVAL" stamped nn the outside of the package.

c. Books received for approval will be reviewed by AUL, and the contractor will be adivsed within 21 days of receipt if the books are rejected or retained. If rejected, the book is returned with the contractor's invoice. If retained, the book is kept and paid for at the amount shown on the invoice. Transportation charges for returned books will be paid by AUL.

d. In addition to sending books on approval, vendor shall periodically notify AUL of significant works in specified subject fields by vendor furnished selection forms. These forms will be supplied in accordance with a profile based on the same system used to select approval books and will display the same basic information described in paragraph C-1a(1). Selection forms may be returned to the vendor by AUL as requests for approval shipment or as firm orders, if so stated on selection form.

e. Contractor shall screen AUL orders for firm order books to insure they do not duplicate approval books shipped.

5. FIRM ORDERS:

a. Contractor must maintain a stock of approximately 200,000 items and ship approximately 70% of firm orders from stock. The contractor will ship those items available in stock within 15 days (earlier if possible) after receipt of an order. Status reports for those items shipped immediately will not be required, but reports for those items not available for immediate shipment will be furnished by the contractor. For each item involved, a brief explanation of the action taken and/or the approximate availability date will be provided to AUL.

b. Items undelivered within one (1) year from the date of their being ordered may be cancelled by AUL.

c. If additional information (e.g., different edition, binding, bibliographic error, etc.) is required to effect the supply of a particular title, the contractor will secure the information directly from AUL.

PART I - THE SCHEDULE (CONT'D)
SECTION F - DELIVERIES OR PERFORMANCE

d. In addition to a shipping document or packing slip covering the entire shipment, the contractor will place one (1) copy of the order form with each title shipped.

6. Contractor shall ship separately and invoice separately the following categories of books:

a. Firm Orders.

b. Approval Plan Orders.

c. Standing Orders (continuations).

PART I - THE SCHEDULE
SECTION G - CONTRACT ADMINISTRATION DATA

Clauses in Full Text

I. 3800 ABW/LGC

After award has been made, contract will be administered by the Contract Administration Section, Base Contracts Office, Maxwell AFB, Alabama. Any request for information or clarification after award of contract shall be referred to this office at (205) 293-7461 or (205) 293-6177.

a. Clauses Incorporated By Reference (APR 1984) (FAR 52.252-2)
This contract incorporates the following clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available.

I. Federal Acquisition Regulation (48 CFR Chapter 1) Clauses
(Reserved)

II. Department of Defense Federal Acquisition Regulation Supplement (48 CFR Chapter 2) Clauses:
(Reserved)

b. Clauses in Full Text

I. Federal Acquisition Regulation
(Reserved)

II. Department of Defense FAR SUP (Reserved)

III. Air Force FAR SUP

52.237-9000 EXTENSION AFTER PERFORMANCE (APR 1984)

Notwithstanding any other clause of this contract, including option clauses, the Government may extend the then current contract performance for not less than one month nor more than four months on the same terms and conditions as applicable to the then current performance period. A written notice of an extension under this contract shall be furnished to the Contractor not less than 15 days prior to the expiration of the existing contract.

IV. Air University FAR SUP (Reserved)

II. 3800 ABW/LGCS

a. INVOICES AND PAYMENT:

(1) Submit invoice in not less than four (4) copies to the Air University Library, Book Acquisitions Section, Bldg 1405, Maxwell AFB, AL 36112 for certification prior to payment by the Accounting and Finance Office.

(2) The prompt payment discount shall be from the amount of the invoice after application of trade discount. Prompt payment discount shall not apply to handling or postage charge.

(3) The percentage discount figure and/or the handling charge each shall apply separately to the gross sum set forth on the contractor's invoice. Such gross sum shall represent the total cost of the order placed with a publisher, will be the publisher's current list price if there is one, or the cost to the contractor before application of the contractor's discount allowed by the publisher.

(4) The percentage discount figure or the handling charge figure set forth herein shall apply to all books ordered under this contract, regardless of the availability to the contractor, from the publisher or other source, of any discount or the amount thereof.

PART I - THE SCHEDULE (CONT'D)
SECTION H - SPECIAL CONTRACT REQUIREMENTS

b. EDUCATIONAL DISCOUNTS:

Books requested are to be used by students of the Air University, an educational institution, and are, therefore, eligible for any educational disocunts normally given to such institutions.

c. OPTIONS:

This contract contains two option provisions (i) Extension after Performance (See Af FAR Clause 52.237-9000) and (ii) Option to Extend the Term of the Contract Services (See FAR Clause 52.217-9) of which either or both may be exercised by the unilateral right of the Government. However, the clause entitled Option to Extend the Term of the Contract will not be exercised after any exercise of the Extension after Performance.

d. EXERCISE OF OPTIONS:

3800 ABW/LGC

(1) If the Government exercises its option to renew as provided in 52.217-9, Option to Extend the Term of the Contract-Services, the contracting officer shall effect such option by written notice mailed (or otherwise furnished) to the contractor no less than 15 calendar days prior to expiration of the contract.

e. PRICING FOR OPTION

(a) If the option to extend covered by Section I, Clause No. 52.217-9 is exercised, prices shall be as set forth in the schedule for the option year period being exercised.

(b) If the option to extend service covered by Clause No. 52.237-9000 is exercised, the prices to be paid for such extension shall be the same as those in effect for the contract period being extended unless quantity variations require a change within the meaning of the changes clause.

f. EXERCISE OF OPTION

If the Government exercises its option to extend the term of the contract as provided in the clause entitled "Extension after Performance" the Contracting Officer shall exercise the option by a written notice mailed or otherwise delivered to the contractor no less than fifteen calendar days prior to the expiration of the contract.

g. APPROVAL OF CONTRACT (See FAR Clause 52.204-1)

This contract is subject to the written approval of the Director of Contracting, OCS Logistics, HQ Air University, and shall not be binding until so approved. (Applicable if contract exceeds $200,000.)

PART II - CONTRACT CLAUSES (CONT'D)
SECTION I - CONTRACT CLAUSES

a. FAR 52.252-2 Contract Clauses Incorporated By Reference (APR 1984)
This solicitation incorporates the following clauses by reference with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available.

1. Federal Acquisition Regulation (48 CFR Chapter 1) Contract Clauses

CLAUSE NUMBER	TITLE	DATE
52.202-1	Definitions	APR 1984
52.203-1	Officials Not to Benefit	APR 1984
52.203-3	Gratuities	APR 1984
52.203-5	Covenant Against Contingent Fees	APR 1984
52.203-6	Restrictions on Subcontractor Sales to the Government	JUL 1985
52.203-7	Anti Kickback Procedures	FEB 1987
52.204-1	Approval of Contract (Applicable if contract exceeds $200,000)	APR 1984
52.208-1( )*	Required Sources for Jewel Bearings and Related Items	APR 1984
52.210-5	New Material	APR 1984
52.210-7	Used or Reconditioned Material, Residual Inventory, and Former Government Surplus Property	APR 1984
52.212-8	Defense Priority and Allocation Requirements	MAY 1986
52.215-1	Examination of Records by Comptroller General	APR 1984
52.215-2	Audit Negotiation	APR 1984
52.215-22	Price Reduction for Defective Cost or Pricing Data (Applicable if contract exceeds $100,000.00)	APR 1984
52.215-23	Price Reduction for Defective Cost Pricing Data modifications (Applicable to Modifications in excess of $100,000.00)	APR 1985
52.215-24	Subcontractor Cost or Pricing Data (Applicable if contract exceeds $100,000.00)	APR 1985
52.215-25	Subcontractor Cost or Pricing Data (Applicable to Modification in excess of $100,000.00)	APR 1985
52.215-26(x)*	Integrity of Unit Prices	APR 1987
52.215-33	Order of Precedence	JAN 1986

*Applicable if checked

PART II - CONTRACT CLAUSES (Cont'd)
SECTION I - CONTRACT CLAUSES

52.216-18(X)*	Ordering (The blanks in the clause are completed 1 Oct, or date of award, whichever is later, through 30 Sep Persons authorized to place calls will be cited by letter	APR 1984
52.216-19(X)*	Delivery Order Limitations (The blanks in the clause are completed as (a) of less than $10.00 (b) maximum order (1)$5,000.00 (2)50,000.00 (3) three (3)	APR 1984
52.216-21(X)*	Requirements (The blank in the clause is completed (f) 30 Sep and specified delivery time	APR 1984
52.217-9(X)*	Option to Extend the Term of the Contract Services. (The blank in the clause is completed (c) 5 years)	APR 1984
52.219-6( )*	Notice of Total Small Business Set Aside	APR 1984
52.219-8	Utilization of Small Business and Small Disadvantaged Business Concerns (applicable if contract exceeds $10,000)	JUN 1985
52.219-9	Small Business and Small Disadvantaged Business Subcontracting Plan(Applicable if contract exceeds $500,000.00)	APR 1984
52.219-13	Utilization of Women Owned Small Businesses (Applicable if contract exceeds $25,000)	AUG 1986
52.219-14( )*	Limitations on Subcontracting	OCT 1987
52.220-3	Utilization of Labor Surplus Area Concerns (applicable if contract exceeds $25,000)	APR 1984
52.220-4	Labor Surplus Area Subcontracting Program (Applicable if contract exceeds $500,000)	APR 1984
52.222-3	Convict Labor (applicable if contract is less than $10,000)	APR 1984
52.222-20	Walsh-Healey Public Contracts Act (Applicable if contract exceeds $10,000)	APR 1984
52.222-26	Equal Opportunity (applicable if contract exceeds $10,000)	APR 1984
52.222-28	Equal Opportunity Preaward Clearance of Subcontracts (Applicable if contract exceeds $1 Million)	APR 1984

*Applicable if checked

PART II - CONTRACT CLAUSES (Cont'd)
SECTION I - CONTRACT CLAUSES

52.222-35	Affirmative Action for Special Disabled and Vietnam Era Veterans (Applicable if contract equals $10,000 or more)	APR 1984
52.222-36	Affirmative Action for Handicapped Workers (Applicable if contract exceeds $2500)	APR 1984
52.222-37	Employment Reports On Special Disabled Veterans and Veterans of the Vietnam Era (Applicable if Contract exceeds $10,000)	JAN 1988
52.223-2	Clean Air and Water	APR 1984
52.223-3( )*	Hazardous Material Identification and Material Safety Data	APR 1984
52.227-1	Authorization and Consent	APR 1984
52.227-2	Notice & Assistance Regarding Patent & Copyright Infringement (Applicable if Contract exceeds $25,000)	APR 1984
52.227-3	Patent Indemnity	APR 1984
52.229-3	Federal, State and Local Taxes (Applicable if contract exceeds $25,000)	APR 1984
52.230-3	Cost Accounting Standards (Applicable to contracts exceeding $100,000 negotiated with other than Small Business)	SEP 1987
52.232 1	Payments	APR 1984
52.232 8	Discounts for Prompt Payments	JUL 1985
52.232-9( )*	Limitation on Withholding of Payments	APR 1984
52.232-11	Extras	APR 1984
52.232-17	Interest	APR 1984
52.232-18(X)*	Availability of Funds (applicable to basic and option years)	APR 1984
52.232 23	Assignment of Claims	JAN 1986
52.232-23	Assignment of Claims - Alternate I	APR 1984
52.232-25	Prompt Payment	FEB 1988
52.233-1	Disputes	APR 1984
52.233-1	Disputes Alternate I	APR 1984
52.233 3	Protest After Award	JUN 1985

*Applicable if checked

PART II - CONTRACT CLAUSES (Cont'd)
SECTION I - CONTRACT CLAUSES

52.237-2( )*	Protection of Government Buildings, Equipment and Vegetation	APR 1984
52.243-1	Changes - Fixed Price	APR 1984
52.244-1	Subcontracts (Fixed Price Contracts) (Applicable if contract exceeds $500,000)	JAN 1986
52.244-5	Competition in Subcontracting (Applicable if contract exceeds $25,000)	APR 1984
52.246-23	Limitation of Liability (Applicable if contract exceeds $25,000)	APR 1984
52.248-1	Value Engineering	APR 1984
52.249-1	Termination for Convenience of the Government (Fixed Price) (Short Form) (Applicable if contract is $100,000 or less)	APR 1984
52.249-2	Termination for Convenience of the Government (Fixed Price) (Applicable if contract exceeds $100,000)	APR 1984
52.249-8	Default (Fixed Price Supply and Service)	APR 1984

PART II - CONTRACT CLAUSES (Cont'd)
SECTION I - CONTRACT CLAUSES

b. Clauses in Full Text
1. Federal Acquisition Regulation

52.252-4 Alteration in Contract - Portions of this contract are altered as follows: *APR 1984

a. Clause 52.243-1, Changes, is amended to extend the period within which any claim for adjustment must be asserted from 30 days to 60 days.

52.252-6 Authorized Deviations in Clauses (APR 1984) (a) The use in this solicitation or contract of any Federal Acquisition Regulation (48 CFR Chapter 1) clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the date of the clause.

(b) The use in this solicitation or contract of any Department of Defense Federal Acquisition Regulation Supplement (48 CFR Chapter 2) clauses with an authorized deviation is indicated by the addition of "(DEVIATION)" after the name of the regulation.

*Applicable if checked

PART II - CONTRACT CLAUSES (Cont'd)
SECTION I - CONTRACT CLAUSES

II. DEPARTMENT OF DEFENSE FAR SUP (48 CFR Chapter 2) CONTRACT CLAUSES

CLAUSE NUMBER	TITLE	DATE
52.203-7001	Special Prohibition on Employment	APR 1987
52.203-7002	Statutory Compensation Prohibitions and Reporting to Certain Former DOD Employees (applicable if contract exceeds $100,000)	APR 1987
52.219-7000( )*	Small Business and Small Disadvantaged Business Subcontracting Plan (DOD Contracts)	FEB 1988
52.225-7001( )*	Buy American Act and Balance of Payments Program (Applicable unless DOD FAR SUP Clause 52.225-7006, Buy American, Trade Agreements Act and the Balance of Payments Program applies.)	APR 1985
52.225-7002	Qualifying Country Sources as Subcontractors	OCT 1980
52.225-7006( )*	Buy American, Trade Agreements Act, and the Balance of Payments Program (Applicable for end items offered at or above the dollar threshold herein stated. The blank in this clause is completed as $156,000.)	MAY 1986
52.225-7008	Duty Free Entry--Qualifying Country End Products & Supplies	AUG 1984
52.225-7009	Preference for Certain Domestic Commodities	OCT 1980
52.225-7012( )*	Preference for Domestic Specialty Metals	OCT 1980
52.225-7023( )*	Restriction on Acquisition of Foreign Machine Tools	DEC 1987
52.225-7026	Restriction on Contracting with Toshiba Corporation or Kongsberg Vapenfabrikk--Offerors Representation	MAR 1988
52.225-7027	Restriction on Contracting with Toshiba Corporation or Kongsberg Vapenfabrikk	MAR 1988
52.227-7031( )*	Data Requirements	APR 1972
52.232-7007( )*	Progress Payments - Alternate I	OCT 1986
52.233-7000( )*	Certification of Requests for Adjustment of Relief Exceeding $100,000	FEB 1980
52.243-7001	Pricing of Adjustments	APR 1984
52.245-7000( )*	Acquisition of Foreign Machine Tools	APR 1987

*Applicable if checked

PART II - CONTRACT CLAUSES (Cont'd)
SECTION I - CONTRACT CLAUSES

III. AIR FORCE FAR SUPPLEMENT

52.209-9001 NOTIFICATION OF DEBARMENT/SUSPENSION STATUS (APR 1987)

The Contractor shall provide immediate notice to the Contracting Officer in the event of being suspended, debarred or declared ineligible by any Department or other Federal Agency, or upon receipt of a notice of proposed debarment from a DOD Agency, during the performance of this contract.

PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS
SECTION J - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

*1. Cover Sheet, DD Form 1707, Information to Offerors or Quoters (1FEB76)

2. Section A, Standard Form 33, Solicitation, Contract Form (Rev 4-85)(Prescribed by GSA) FAR (48CFR) 53.214(c) Page 1

3. Section B, Supplies, Services and Prices, Pages 2-12

4. Section C, Description/Specs./Work Statement, Pages 13-15

5. Section D, Packaging and Marking, Page 16

6. Section E, Inspection and Acceptance, Page 16

7. Section F, Deliveries or Performance, Pages 17-19

8. Section G, Contract Administration Data, Page 19

9. Section H, Special Contract Requirements, Pages 20-21

10. Section I, Contract Clauses, Pages 22-28

11. Section J, List of Documents, Exhibits, and Other Attachments, Page 29

**12. Section K, Representations, Certifications and other Statements of Offerors, Pages 30-42

**13. Section L, Instructions and Conditions, and Notice to Offerors, Pages 43-48

**14. Section M, Evaluation Factors for Award, 49-51

*Cover Sheet, DD Form 1707, Information to Offerors, (1FEB76) will not be made a part of this contract.

**Part IV - Representations and Instructions, Sections K, L, and M are incorporated in any resulting contract even though not physically attached. These sections will be retained in the contract file maintained by the Base Contracts Office, LGCC, Bldg 835, Maxwell AFB, AL 36112-5320.

PART IV - REPRESENTATIONS AND INSTRUCTIONS (CONT'D)
SECTION M - EVALUATION FACTORS FOR AWARD

M.1 Basis of Award. The contract resulting from this solicitation will be awarded to that responsible offeror whose offer, conforming to the solicitation, will be most advantageous to the Government, price and other factors considered. The Government reserves the right to determine which proposal demonstrates the required completeness and which is the most advantageous to the Government.

M.2 Evaluation Process.

a. GENERAL. The evaluation process designed for this procurement will address two areas, technical and price. The offeror's technical proposal will be evaluated for technical merit, using the evaluation criteria stated below. The proposed price, including options, will be considered independent of the technical criteria.

b. EVALUATION FACTORS:

Proposals will be evaluated on the basis of the factors listed below. Factors (1), Technical Merit Critical Factors, and (2), Experience, carry the same relative weight and are the most important factors. Price will also be an evaluation factor, but will be considered subordinate to (1) and (2) in the relative order of importance. However, price is a significant factor in that the objective of the Contracting Officer will be to determine the combination of technical excellence and total price most advantageous to the Government. Factor (4), Technical Merit Non-Critical, carries a very insignificant weight by comparison to the other factors.

(1) TECHNICAL MERIT CRITICAL FACTORS: Responsiveness to technical specification's critical factors. Includes:

(A) Development of an acceptable approval plan in accordance with specifications.

(B) Developing a profile from a subject terminology thesaurus of at least 6000 separate terms.

(C) Ability to deliver as required.

(D) Single point of contact

(E) Perform bookkeeping required by the specifications

(F) Furnish free telephone service

(G) Furnish reports

The critical technical specifications are listed in descending order of importance with (A), (B), (C) and (D) carrying considerably more weight then (E), (F) and (G) but still, all in descending order of importance.

PART IV - REPRESENTATIONS AND INSTRUCTIONS (CONT'D)
SECTION M - EVALUATION FACTORS FOR AWARD

(2) EXPERIENCE: Experience of firm that demonstrates capability to perform.

(3) PRICE

(4) TECHNICAL MERIT NON-CRITICAL. Responsiveness to non-critical technical specifications.

Technical specifications not listed above in paragraph M2b(1) will be considered under this factor. Each non-critical technical specification carries relatively the same weight.

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21. Interview between K. Klinker, contracting officer, Library of Congress, Landover, Maryland, and the author, 11 September 1989.

22. Library of Congress, Procurement and Supply Division, Request for Proposal 87-6, Book Ordering Services, undated.

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